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ABSTRACT

This handbook tells how to identify and afford on-the-job development for administrators and supervisors of a school system or other institution and at the same time how to evaluate them. Developmental performance evaluation, the book says, is similar to Management by Objectives and Program Planning Budgeting Systems and can be used in conjunction with them. Such evaluation is dedicated to on-the-job growth and has performance improvement as the main purpose. (Author/LD)

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How to Evaluate Administrative and Supervisory Personnel

A Guide to the Growth and Development of Members
of the School Management Team Through
Performance Planning, Results Analysis and Follow-Through

Volume IX AASA Executive Handbook Series

American Association of School Administrators
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FOREWORD

Historically, the American Association of School Administrators has been a strong and continuing advocate of personnel evaluation. This was reinforced by the 1977 AASA Delegate Assembly which adopted a resolution, part of which I quote:

"AASA believes that evaluation of administrators should be encouraged. AASA urges boards of education to adopt systems of evaluation of administrators and to assume their responsibility for the evaluation of the superintendent of schools. AASA further urges superintendents and other administrators to assume responsibility for the evaluation of all other administrators."

It is only through a system of evaluation that administrative and supervisory personnel can improve and strengthen their roles in the direction of America's public schools. Through participatory evaluation the strengths of each individual administrator can be fully utilized, and weaknesses can be worked upon jointly by the evaluatee and the evaluator. In addition, such an evaluation system affords motivation, positive supervisory support and involves the individual in self-development.

AASA commends this book to its members and to the members of the administrative profession. We believe that it provides a step forward in a significant educational management area.

This handbook was written by H. Robert Olds of Santa Barbara, Calif. We are indebted to Terrel H. Bell, former U.S. Commissioner of Education, for his incisive remarks in helping to shape this publication in both tone and direction. Additional contributions and editing were carried out under the direction of William E. Henry, AASA Associate Director.

Paul B. Salmon
Executive Director
AASA

Introduction

The enormous success of education in America has played a major role in creating a new kind of crisis which the nation has never known before. Public and private organizations of almost every kind are involved. Education is very much affected.

What is now happening constitutes the greatest of all challenges for those in management positions of every kind. Educational management is at the vortex.

Mass education, over a period of generations, has raised steadily the capabilities of large numbers of people to handle increasingly complex and demanding jobs. The schools also have produced those who invented the complicated machines and devices which have wiped out millions of low level and menial tasks. Through marvelous productivity, the goods and niceties which before were limited to a few have now been made available to almost everyone.

The farmer, frequently a college graduate surrounded by intricate machines instead of farmhands, is one example of what has happened. The assembly line worker is another. Education, leisure time opportunities and ambition have made him bored with the routine work his immigrant grandfather cheerfully performed.

This transition, reinforced by government policy that all individuals should enjoy ever-increasing living standards, subsidized if necessary by public funds, has brought about a completely new set of job expectations by public and private employees.

Many teachers and other employees, reflecting the expectations of workers in other fields, have insisted that salaries and fringe benefits should be increased continuously, regardless of financial limitations of school districts and the protests of taxpayers.

All of this points to a major role which school administrators and governing boards must now assume.

In order to make possible the rising expectations, right or wrong, of those who work in education, it becomes increasingly necessary for all administrators and supervisors to systematically improve the performance levels of those employed in education — including the administrators themselves.

This is a new role for those in management in education. It is not spelled out definitively in position descriptions. The general and historic assumption in education has been that improvement takes place away from the job. It has been measured by course credits and degrees acquired. In all professional fields, however, there is in-

creasing recognition that the possession of degrees assures merely that the holder is ready to learn.

Part of the challenge for school management is to develop a sound framework for planned, individualized improvement on the job. It becomes clear that the system must be one which is positive, fair and unthreatening. It must be one which affords motivation, positive supervisory support, and deeply involves the individual in self-development, too.

The second part of the challenge is to make the system work.

The vehicle for the system, fortunately, does not have to be invented. It exists. It is in operation in some school districts across the country. In other districts, it must first attain believability. Most personnel evaluation programs in education are negative. Seemingly, they are operated primarily for the benefit of legal compliance and those who maintain personnel records. Developmental performance evaluation plans, on the other hand, are dedicated to on-the-job growth and have performance improvement as the main purpose.

This book tells how administrators and supervisors of a school system or other institution can establish and derive the benefits offered by an effective developmental program — by using many of the basic procedures involved in a performance evaluation plan.

It is not a recipe book. There are other books which are devoted to the techniques of designing objectives, holding progress conferences, coaching, etc. You won't find a great deal about forms and paperwork here either. There has been the unfortunate demise of up to ten thousand school district evaluation plans due to the weight of meaningless paperwork which caused them to sink from sight.

On the basis of results obtained, most school evaluation plans appear to have little value and purpose. You will find the basic developmental plan described in this book to be purely realistic and purposeful — for those who sincerely want to make it work.

Some of the procedural steps, but not all, bear a superficial likeness to typical rating plans. This can be very misleading. The plan to be described had its origin more than two decades ago in the middle and upper executive levels of business and government. It was designed to help identify and to afford on-the-job development for executives who had the potential for upgrading.

Now it is enjoying evolutionary refinement and widespread adoption.

*Robert Olds
Robert Olds Associates
Santa Barbara, California*

CHAPTER 1

The Podacarpus Predicament

Superintendent Podacarpus tossed in bed. Two aspirins had failed to quiet the pounding headache which had begun during the four-hour school board meeting.

Mrs. Viburnam launched the attack. It was not unexpected. She still smarted from the verbal spanking administered by other board members at the previous meeting.

At issue was her unceasing, unannounced visits to school buildings of the district. She described these trips as being part of her "personal responsibilities" as a board member "to evaluate the actual administrative quality of the educational program we are providing for our boys and girls."

Her informal reports, volunteered at odd moments during subsequent meetings, were received with mixed reactions. Administrators present gritted their teeth in anticipation of what might be "revealed" next. Board members flinched at the prospect of Mrs. Viburnam winning total press coverage of the meetings. The only happy person was the reporter for the *Evening Whisper* who felt assured that there would be something other than non-news to come out of the meeting so long as Mrs. Viburnam circulated.

"All right," said Mrs. Viburnam grimly to the board, "You're displeased with my efforts to appraise our management. As a board, you've been unwilling to do it. Therefore, I'm going to move that those who should be doing the evaluation in the first place, develop a valid plan and put it into operation — the administrators themselves. Then all we have to do is evaluate the results of the evaluation plan."

She moved. The rest of the board members, delighted at the prospect of a quieter Mrs. Viburnam and fortuitous escape from the nitty-gritty of administrative evaluation planning themselves, were quick to give approval. By the end of the meeting, Podacarpus thus had acquired two headaches: orders to produce an evaluation plan for administrators and supervisors of the district, and the pain which throbbed from the back of his neck to his eyeballs.

His only break of the day came when, hours later, he dropped off to sleep. He traded the pain of the headache for a wild dream.

Podacarpus found himself inside a store-like structure. It was filled with boxes of all kinds and shapes. A hand-rubbing clerk came to assist him.

Clerk: How can we help you?

Superintendent: Where am I?

Clerk: You're in the evaluation store.

Superintendent: I don't understand.

Clerk: We're an evaluation supermarket. We sell all types of evaluation plans. Biggest stock in town. All the top brands.

Superintendent: I want one.

Clerk: For which group, please?

Superintendent: School administrators and supervisors.

Clerk: Ah, yes! I think we can help you. Right over here in the management section. Now, what would be the purpose of the evaluation plan?

Superintendent: Why, to evaluate. That's all. It's a matter of policy by my board of education. The board says to evaluate. That's what we're going to do.

Clerk: So the purpose is to keep the board happy. Right?

Superintendent: Well, now, I didn't mean that exactly.

Clerk: I'm sure we can take care of you.

Superintendent: Well, it's good business to evaluate. We evaluate students. We evaluate teachers, custodians, secretaries. Now the board says to evaluate administrators and supervisors, too. That's why I'm shopping.

Clerk: I don't want to mislead you. We have a large stock of Keep-The-Board-Happy plans, Keep-Your-Administrators-Happy plans, and Keep-The- ---

Superintendent: Tell me, do you really have plans that actually improve performance? I hear about them all the time. But I've never actually seen one, even though everyone chats about them. So far as I am concerned, if I had one of those kinds of plans, it also would be a Keep-The-Superintendent-Happy plan.

Clerk: Frankly, we have only a few of this type. They're so similar to our more popular Appear-To-Improve-Performance models that there is a lot of confusion. But we do have them. They're being improved every year, too. We've finally made some major breakthroughs. Now, here's the latest model . . .

Superintendent: I'll take it! I'll take it!

Clerk: There's just one more thing . . .

Superintendent: Just give it to me. Please!

Clerk: I have to tell you . . .

Superintendent: Tell me! Then give it to me!

Clerk: The plan works only for those willing to learn and properly use the combination.

Superintendent (desperately): What combination?

Clerk (beginning to fade): We deliver the plans only. You have to find the combination. Just two key questions and the answers.

Superintendent: Don't leave, please! What are the two questions?

Clerk (turning to fog): You'll find them. It's the answers which are harder.

Podacarpus, drenched with perspiration and sitting up in bed, stretched out his hands. He was wide awake . . . a final plea for enlightenment died on his lips.

This situation might be called The Podacarpus Predicament. Here was something being paraded as new, perhaps, but it sounded familiar. Throughout his or her career as student, teacher and administrator, the superintendent has found evaluation to be as much a fact of life as breathing.

Evaluation is grading. Evaluation is rating. It is classifying. It is measuring. It is rewarding. It is punishing. It is manufacturing values with symbols. It is recordkeeping. It is sometimes scholastic or professional life or death. It is seemingly a God-like capability bestowed upon certificated mortals.

Evaluation is to an educator like clippers in the hands of the barber or pepperoni in the hands of the pizza-maker.

Even the slightest suggestion that an evaluation might have non-traditional purposes and values, perhaps in some dimensions other than judgments dealing with personal success or failure, has been upsetting to educators, having been the original experts of individual achievement measurement.

This classic approach to the purposes of evaluation has given the term a gospel-like quality in American life. It has been legalized and buttressed to such an extent in education that alternatives are viewed almost as being un-American. Laymen, programmed by generations of teachers to equate the grading of report cards with any manner of evaluation, see no barriers to the evaluation of teachers and administrators.

It is only when the procedures of traditional evaluation are applied by educators to educators, or by others to educators, that the process is said to be fallacious. The very thought of others-doing-onto-teachers what teachers-do-onto-children sets the teacher organization war drums throbbing. Nevertheless, this thought has become law in about one-quarter of the states. Most of the laws have

been passed during the past six years. Typically, an annual or biennial evaluation is required of certificated employees.

Virtually all of the publicity about mandated evaluations has been focused upon the evaluation of teachers. Even though a California law required evaluation of all certificated personnel, the assumption that evaluation was something for teachers only was so widespread that the law had to be amended to spell out evaluation requirements for administrators and supervisors.

Since most of the states have not specified how professional personnel must be evaluated, the majority of school districts have continued to do what comes naturally. Extended to all teachers have been the same rating schemes which have been used over the years to rate probationary teachers. Administrative and supervisory plans which have been developed tend generally to be crude adaptations of the teacher rating procedures now in use.

Not all school districts, however, have been copy cats and adopted traditional rating plans. In a good many school districts, even without a legal compulsion, there has been discovery of desirable alternatives.

The big news in evaluation today is that the new concept plans of evaluation are in use and are in various stages of refinement in hundreds of school districts across the country.

In some instances, of course, the traditions of rating are so strong that school staffs are going through a weaning process. In others, there have been mighty efforts to doll up conventional rating procedures and to palm them off as "new," or even to subvert the principles which underlie the new evaluative approaches.

Created For Administrator-Supervisor Evaluation

One of the most exciting aspects of the "new evaluation" is that it is much better suited to the evaluation of administrative and supervisory functions than an adapted conventional teacher evaluation approach. In fact, the new approach was designed and used originally and exclusively for management personnel.

There are several significant factors behind the evolution of the new approach. It is a development which has had a shared beginning, originating in some phases in education but with the major contributions being made by managements in other areas.

Today the approach is in such widespread use in public and higher education, finance, manufacturing, governmental agencies, profit and non-profit institutions, that future development and refinement is assured.

There is no general agreement today, however, about what to call this type of evaluation, including whether to call it evaluation.

Since the original concept was to improve individual performance on the job, especially at management levels, by focusing upon work planning and the study of results, the term "performance appraisal" came into fairly widespread use.

This term, however, has tended to become umbrella-like. Some companies, unhappy with conventional merit rating methods of arriving at executive salary ratios, have endeavored to tie performance evaluation procedures into salary determination. Even after a quarter of a century, however, this dimension of performance evaluation is highly controversial. It is practiced, however, for want of a sound alternative.

Under some plans of Management by Objective (MBO), the involvement of salary determination has enjoyed a revival in performance evaluation, even though it is a marginal aspect of basic MBO. In fact, one of the nation's largest banks forbids any consideration of salaries as part of its MBO plan.

Neither "appraisal" nor "evaluation" precisely define the underlying key fundamentals of this management development. The General Electric Company management a few years ago dramatized this uneasiness by tossing out both terms. In GE, the procedure is called Work Planning and Review. One of the reasons for not attaching something like "evaluation" to the process in management fields outside education is the unique origin of the process during the 1950s.

Development Motivated The Early Plans

No enterprise can hope to maintain or improve its management unless there is a continuing input of developable talent.

This lesson was learned in a frightening way at the end of World War II. Even companies which had played an important role in producing goods and services during the war were shocked.

The interruptions of inflow of new management talent over a five-year period, they discovered, could virtually cripple the implementation of postwar operational plans. One of the nation's foremost steel companies woke up to the fact that more than one-half of its top management staff would retire within five years.

The answer to the problem was one of desperation creativity. A number of leading companies set up "management development" programs. These represented a sharp break with tradition, which had dictated a practice of hire, try, and fire until the right man appeared to fit the job. It was wasteful and inefficient.

The concept of developing management also was the child of the tremendously successful World War II on-the-job programs of Job Supervisory Training (JST) and Job Methods Training (JMT). These

programs had helped to develop rapidly the massive numbers of supervisors and foremen required to make possible the achievement of the fantastic wartime production schedules.

Management development programs carried over the concept to higher executive levels. The basic premise was that management capabilities on the job must necessarily improve continuously through the improved ability of individuals to perform at ever-increasing levels of competence. On the balance sheet, this was the justification for the great expense and effort involved in the recruitment and orientation procedures. It was, in fact, an investment in capitalizing executive capability.

The formula was a rather simple one. The superior executive, after gaining knowledge about the aspirations and general capabilities of a subordinate gained through informal interviews, would establish specific growth objectives for the subordinate. These would be presented to the subordinate who was expected to concentrate his job improvement efforts upon these "target objectives."

Through counseling and coaching by the superior, in formal and informal settings, the subordinate would be assisted in achieving the improvement objectives. Even though somewhat elemental by today's standards, this approach represented a radical departure from tradition. For the first time, management assumed a measure of responsibility for on-the-job development of its executives, the goal being to have each person on the management team function at ever-higher levels of performance during his or her career.

A Need For New Yardsticks

But how would the progress of the subordinates be monitored and measured? Executives reviewed the evaluation instruments they had been using — those borrowed originally from education which were based upon subjective judgments of the evaluator. They concerned mannerism and other personal characteristics of the individual, including impressions about his conduct and beliefs.

Obviously, checklists based upon evaluator judgments about personal qualities of individuals were totally inadequate when progress was being appraised in the light of specific performance objectives. It became extremely difficult to substitute opinion for documentation and the evidences of accomplishment — or lack of it.

Despite the difficulties, some tradition-bound evaluators were reluctant to give up the "security blanket" comfort of making out once-a-year evaluation checklists. "Playing God," to some, had its satisfactions.

Only the extremely daring among evaluators agitated for appraisals which concerned themselves solely with performance progress.

Another complicating factor was top management insistence, in many enterprises, that decisions about salaries, and merit pay in particular, should be the foremost purpose of evaluation rather than improvement of individual performance. In fact, it was difficult for some top bosses to distinguish between the two.

Thus, many performance evaluation plans in industry have, over the years, been mere vehicles for deciding pay differentiations at given executive levels. They have tended to be loaded down with ponderous and complicated systems of point accumulations and value judgments. They have not strayed too far from the old-fashioned rating schemes even though they may claim to be operated for performance improvement and on-the-job development. A few school districts plow this same furrow.

CHAPTER 2

Getting ALL The Dividends

This book has a bias. It assumes that readers want information about administrative evaluation which is neither a rehash of classic rating methods nor a formula for merit rating. It assumes a hard-nosed management desire to use evaluation as a sound approach to improved managerial and supervisory performance.

It is extremely important to understand that performance evaluation is a dynamic, evolving concept in management development. Like beads on a long string, this type of plan, as it is developing in education, industry, and government, exists in all stages of development. At one end of the spectrum there are plans which are not far removed from oldtime rating. At the other, there are plans which have become extremely advanced and have incorporated many sophisticated concepts.

The procedure followed in the earliest performance evaluation plans was quite simple, but rather one-sided. The boss gave the subordinate a list of objectives for improvement which the boss developed for the subordinate. The list usually was prepared at the beginning of the year. The subordinate gave special work emphasis to these objectives. Perhaps there would be a coaching session every few months. At the end of the year the boss would write an evaluation. He would discuss it with the subordinate and offer suggestions for improvement. Then the cycle would repeat.

Two decades of experiences with these plans, plus the accumulation of a great deal of behavioral research, have had their impact upon performance evaluation.

The Partnership Concept

In the more advanced plans today, the evaluatee is regarded to be much less a "subordinate" than a few years ago. In fact, there is de-emphasis upon "Superior" and "Subordinate" in some enterprises. There is a partnership-like arrangement. There is formal recognition that a work assignment is not necessarily exclusively completed by the evaluatee. The evaluator, as a partner in planning and supervision, shares in the success or lack of it.

The evaluatee, increasingly acknowledged to be the person chiefly responsible for performing the work and, ordinarily, most know-

ledgeable about it, assumes responsibility for the design of the work improvement objectives for the year. (This assumes, of course, that the evaluatee is aware of and supports the major objectives of the organization.) The evaluator, serving in the role of counselor-partner, reviews the proposals. The evaluator may, after studying and discussing the proposals with the evaluatee, call for modifications before giving his approval.

The objectives become the focal point of communication between the two. Great attention is devoted to a joint review and study of performance data which is shared throughout the performance period. There are interim formal progress conferences as well as informal meetings. When necessary, evaluatee or evaluator may request a conference.

Separate formal evaluation statements are made by the evaluator and evaluatee which summarize the results of the performance effort. The emphasis is upon work results as indicated by the performance data which had been agreed upon in advance.

A summary conference is held to compare notes and conclusions. Part of the session is devoted to planning follow-up activities which may be necessary. Some attention may be given to possible target objectives for the next cycle.

There is an overall positive focus of the evaluation process. Both parties have a mutual interest in achieving improved results. The goal is to help the evaluatee function more at higher levels of performance.

Procedures Fail to Tell the Story

Although the new directions which are evident in the more advanced performance evaluation programs hold great significance for the future, procedures alone do not disclose some of the additional values resulting from the performance evaluation effort.

The management-wise school executive who may be responsible for an advanced performance evaluation plan is more likely to apologize for it than to boast about it.

The vision of the full potential of a plan can be mighty humbling. A well-operated plan, which minds its own goals while serving the individuals and the organization, offers the prospect of being the school leadership's most significant tool for managerial achievement in the future.

It is extremely unfortunate that a term like "evaluation" must be used in connection with performance evaluation in education. It invites bias and prejudice. It invites misunderstanding, frequently tending to obscure more than it enlightens. Nevertheless, the word is used universally and has immediate recognition.

Probably the greatest handicap which "evaluation" offers is the indication that a single action, or at most a procedure, is involved in order to measure or rank.

When applied in a developmental sense, performance evaluation for administrators and supervisors must be considered necessarily to be the basic component in a continuing strategy for systematic management improvement.

Some of the recognized and implied management values of performance evaluation, when operated properly, have been known for a long time.

Recent developments in educational management, however, have tended to make performance evaluation the source of a number of added values which administrators have been seeking.

Thus, performance evaluation takes on the attributes of an extremely important investment worthy of the time and effort of all members of the management group. It no longer is tolerated simply as a mandated activity to keep the filing clerks and secretarial staff busy.

Making the Most of Research Findings

As was indicated earlier, the emerging performance evaluation system not only advances the art of regular management responsibilities in supervision but also becomes the vehicle to take advantage of recent social science research findings which point the way to improved management techniques in working with employees.

Here are some of the values which increasingly can be managerial dividends as a result of achieving a highly effective performance evaluation program —

Work-Related Communication: Research studies show consistently that too little communication takes place between the individual and supervising administrator about the work being performed on the job. Each party knows far less about the other's work than is believed to be the case. This results in misunderstandings, mistakes and "surprises."

The absence of regular shared information about work performance tends to cause lowered performance quality; it is particularly damaging in a team-like operation.

A good performance evaluation program mandates what amounts to a new work place lifestyle, compelling a continuing formal and informal dialogue between evaluator and evaluatee about the work effort and the results attained.

A decentralized operation like a school district has built-in communication limitations which too frequently are never recognized except, perhaps, when there is trouble. There is a continual man-

agement communication deficiency which tends to adversely affect the overall operation.

Misunderstandings, confusion, inconsistencies and response lags are assumed to be inevitable. Few districts have done more than nibble at the communication obstacles. The communication requirements which are essential to a sound evaluation program not only pinpoint the organizational communication problems but also eliminate many of the trouble spots.

Top management in larger decentralized enterprises suffers most from unintentional and intentional communication "filtering." Information from divisions and other operating units too often fails to "get through" in a format which yields the most valuable information. A good performance evaluation program enables top management to "look through" the management organization by reviewing performance objectives and evaluation statements on achievement. The work of evaluators as well as evaluatees can be reviewed in a way which affords much greater insight into the workings of the management operation than otherwise would be possible.

Where management is spread thinly and supervisory ratios are poor, the ability to review the efforts, problems and successes of others through the evaluation process can sometimes minimize the organization-related deficiencies.

Team Operation: Probably the most important success factor in organizational team-building is the strength resulting from the relationships built through open, work-focused face-to-face communication and the interlocking of effort at all management levels. The acceptance of this type of performance evaluation can lend far more reality to the existence of a management team than any outpouring of leader declarations or school board policy statements.

In some ways, a well-established developmental performance evaluation program may be the soundest possible way to assure the growth and continuation of a management team.

Many administrators and supervisors become rightfully suspicious of management team talk, especially when there are rumors of employees organizing for collective bargaining.

Although an incumbent superintendent may be fully accepted by administrative and supervisory colleagues as the management group leader, there is the knowledge that superintendents come and go. What may be a fine team operation today can, thus, be ended very abruptly.

Insuring the Management Team Operation

A good performance evaluation plan, once well-established, tends to become the best possible insurance policy for the continuation of

the team operation. Although experience indicates that a desirable plan cannot be established without the full understanding and support of the superintendent, its life is not necessarily limited to the tenure of any one person.

In some ways, the performance evaluation plan formally ratifies a management team type of operation. Its future does not hinge entirely upon the presence of a single chief administrator. In fact, when there is a change in the top management spot, the school board is likely to be aware that a successor's qualification must include the ability to function under this type of evaluation plan.

Evaluator benefits: Most evaluation programs assume that there are no direct and personal benefits for the evaluator. This certainly is true if he is engaged in check list evaluation, tabulating points and other paperwork which will accomplish nothing more than expanding the personnel department files.

The developmental evaluation process, in some ways, is of greater value to the evaluator than the evaluatee. He must think much more clearly about the goals and objectives of the particular management unit, his or her personal work objectives and those of every evaluatee.

Evaluation has always been an "assumed" job function. Too often the task has been slighted or even unstated, offering no recognition or rewards to the evaluator. Training for evaluators has been nil. It has been a glaring management error to rely upon traditional assumptions that everyone knows his job — simply because proper certification supposedly documents this fact.

One of the most profound aspects of good performance evaluation is that every evaluatee assumes part of the supervisory load through self-supervision, thus enabling the evaluator to be more effective in other ways.

Evaluators frequently are much more wary of performance evaluation than are evaluatees. There always is concern about changing from the comfortable known to the unknown. The strong element of evaluatee participation may also seem to be a personal threat to those who would have others view them as all-seeing, all-knowing bosses.

Evaluators of this type have difficulty understanding that a huge load of planning, data-gathering and conventional supervising chores have been shifted, in part, to those actually performing the work. The evaluator unquestionably becomes a major gainer rather than a loser in developmental performance evaluation.

Accountability: The effective evaluation program involves a total staff preoccupation with goals and objectives, fortified by full appre-

ciation of performance data, an analytical approach to results, and continuing improvement plans. It is the exemplification of accountability.

Not only does everyone in the organization know what is being attempted and the indicators of success, but it also is possible to explain this to others, at least from the standpoint of personal involvement.

Programming Planning Budgeting Systems (PPBS) and Management by Objectives (MBO) too often have been unfortunate experiences for school districts, and numerous institutions and business organizations, too, because of faulty orientation.

Although both systems are essentially planning and evaluative tools, they have been presented to many educational administrators as complicated, computer-dependent monstrosities, dedicated solely to the interests of the corporation or institution.

School boards sent their administrators away to PPBS schools. Many became steeped in the lingo and symbols of the system and were overwhelmed. It is true that both MBO and PPBS usually suffer from direct translation into school district use. A further hazard is that they tend to become identified as something which "belongs" to the superintendent or school business official.

An Easy-to-Understand System

Performance evaluation, as an accountability system, can have certain advantages over PPBS and MBO. It is easy to understand and to explain to others. It is a people-based system. It also proceeds from a traditional format which is quite familiar to all educators.

Strangely enough, performance evaluation, MBO and PPBS all rest upon the same underlying framework. Yet, in many school districts, officials are fearful that calling a proposed management planning-accountability system by the terms PPBS or MBO will cause a fatal negative staff reaction.

Performance evaluation, if properly introduced — and started with the installation at administrative and supervisory levels only — can avoid many of the acceptability hazards invariably experienced with MBO or PPBS. A later chapter will indicate how MBO or PPBS systems can be operated smoothly when they are integrated with the principles of a developmental performance evaluation program.

Capitalizing the Investment: Unlike management in many other fields, education lacks the conviction that administrative talent represents an investment. The management development movement in industry is based upon the premise that employment is an initial step in a human investment program which will produce great rewards

for the company as continuing growth takes place on the job.

Loose-lipped comments about administrative overstaffing and incompetence in school systems too often gain unwarranted credence. Part of the cause is likely to be an internal failure.

In many school districts today it is not uncommon for the gross salary, retirement and other fringe benefit payments to an administrator to total well over a quarter of a million dollars in a decade. If the administrator has gained sufficiently in performance capabilities over this period of time, he/she is far more valuable to the school district than on the day that he/she was hired.

But has he/she actually increased in value to the district? How much? What's the evidence?

In most districts there is no documentation of the quality of administrative services provided, or growth attained, either by the total administrative-supervisory group or by individuals. At one time the public was impressed by the acquisition of additional degrees as evidence of increased competence, but this is far less acceptable today to the public or the education profession. Increasingly, the advanced degrees signify that the holders are qualified to embark upon a program of on-the-job growth rather than having attained this status by engaging in research and taking college courses.

Administrative Services Get Tougher to Sell

In a period of declining enrollments, tight school dollars, and hard-pressing employee unions, the value of the quality of administrative services certainly is not self-selling, especially if there is no genuine management improvement program and record of specific growth and development. A good performance evaluation program fills this significant gap.

Job Satisfaction: In recent years, a great deal of attention in management research has been focused upon personal satisfaction derived from working on the job. Younger, better-educated factory workers have taken strike action because their jobs were boring. New-style experimental factories are being operated which aim to overcome worker dissatisfaction through the restructuring of the complete work organization. Two key factors are stepped up feedback of performance data to those performing the work and greater worker participation in operational management.

A recent "Organization Development" (OD) movement seeks improved effectiveness through employee participation in management planning and improvement via the use of psychological expertise to improve the "work climate," in dealings with human relationships, and in other personalized job aspects.

An even newer "Human Resources Development" (HRD) movement, to be discussed later in the book, extends beyond the dimensions of OD. It has achieved sufficient stature in some leading corporations to be given top executive staff status for advancement of HRD programs.

It's Not Just Money

The basic thrust of these movements is based upon the idea that individual productivity and competence in an organization depend as much upon intrinsic values derived from job performance as from the material rewards.

The relationship between job satisfaction and the quality of work performed increases with the extent of formal education and degree of creativity possessed by the individual. Thus, top notch teachers, for example, are said to have an appetite for job satisfaction which either must be satisfied on the job or it will be sought elsewhere.

Dan C. Lortie's significant research findings, summarized in his book, *Schoolteacher*, indicate that much teacher dissatisfaction stems from uncertainty and even doubt about the outcome of the classroom teaching effort. A negativism is created which could be remedied through some systematic way of having access to performance data related to individual goals and objectives. Lortie underlines the important relationship between continuing knowledge of achievement and the attainment of psychic rewards, increasingly essential for job satisfaction.

Administrators and supervisors, many of them possessing great success records as former teachers, may have abnormal job satisfaction requirements.

Administrators and Supervisors Need It, Too

A performance evaluation program, with its continuing challenges of target objectives, mutual search for performance data and analysis of results, suggests a special means of satisfying the personal compulsions for discovery by administrators and supervisors. They must have evidence of job success and personal achievement.

Despite the very real problems of growth which have plagued public school administration for two decades, the problems of management today are much more sophisticated and diverse. Administrative jobs, generally, are more demanding. While salary levels have moved up substantially, the comparison with teacher salaries on the basis of hours worked, suggest that other forms of job satisfactions are imperatives if top administrators are to be retained.

Administrative Work Becomes Tougher

Administrators catch the brunt of public dissatisfaction about educational costs and quality. Public support, which could almost be assumed during the growth years, today can be achieved only by great skill and hard work.

Employee organizations, under collective bargaining rely increasingly upon strategies to build abrasive, adversarial relationships with administrators. There is a continuing ploy by organized employees to downgrade the administration and administrative services in the eyes of members and of the public.

These pressures tend to make many effective administrators into hard-driving, but unthanked and lonesome people who become prone to ulcers and heart attacks.

They are left with the options of trying to get back to the classroom, leaving the education profession for a more satisfying career elsewhere, or just settling back into the more comfortable posture of bureaucrat until retirement day arrives. This, unfortunately, represents a great loss of wasted or departed talent.

18 Hurdles to Jump

Administrative evaluation is fog-shrouded in most management fields. It is very dense in educational management. School administrators do not have an affinity for the fog. It is their inheritance. For them, there is more to be "unlearned" than in other endeavors.

Evaluation, as such, probably is more closely associated with education than any other field from the historical viewpoint. Yet, in some ways, the recent interest in evaluation of school administrators and supervisors is somewhat revolutionary. It assumes that the quality of educational input and performance can be traced directly to the contribution made by educational administration.

Thus, administrative evaluation becomes a backward way of stating that there is a very vital relationship between quality of administration and quality of education.

The Overlay Burden

No other field of management, however, is required to overcome such a heavy overlay of bias, myth, and misdirection, as that which exists in educational management.

This chapter points to some of the major problems which may confront those seeking to develop a performance evaluation system that, hopefully, will have superior chances for success. At least 18 myths have caused challenging hurdles which must be overcome:

1. Work performance in an educational institution is the exclusive responsibility of the individual to which it has been assigned. This fetish may somehow represent a throw-back connection with the one room school era, where the lone teacher wielded the chalk, broom, ruler, coal shovel, and bottom-whacker.

The facts today are that nothing very significant occurs unless management has paved the way with planning, organizing, dealing with logistics, handling assignments and support services. The myth that the work of any single staff member is carried out as a purely individual effort still persists in both teaching and administration. It is pure nonsense.

A basic weakness of rating schemes is that they endeavor, usually, to assume that the person having primary responsibility for performing a given unit of work in the organization becomes totally responsible for the results.

Teacher organization spokesmen are quite willing to contend that the evidences of teaching success represent the sole outcome of teacher effort. However, when there may be a possibility of instructional failure, the teacher groups tend to blame the deficiency upon overly large classes, inadequate materials or other administrative failures.

Ratings of administrative personnel, likewise, tend to be made by superiors on the basis of hunches, personal qualities, and the assumption that the outcome of work effort may be attached exclusively to the individual having the chief assignment for the work.

The Geography Factor

The notion that there is a virtual absence of interdependence by those who work in the educational organization is accentuated by the geographic decentralization of the school district organization.

Professional staff members all have had a prior orientation to this kind of environment during their days in higher education, where not only is there a similar decentralized type of organization but also great pride is taken in a kind of academic entrepreneurship.

This stance is directly counter to team thinking. It discounts completely the strategy and efforts of the blocking members of a football team which enable the ball carriers to bounce through predetermined openings in the opposing line.

The ability to produce desired results, as planned and as the outcome of elaborate cooperation, is highly regarded in most enterprises, but it is not a weighty feature in educational organizations.

2. *All jobs are the same if they're similar.* One strange myth in education is that all similar staff positions are identical. The make-up of student enrollments, location of building and diversity of the community served, numbers of staff members involved, are largely ignored in school district job descriptions. In some instances, there may be acknowledgement of building size in terms of allowances for numbers of administrative office personnel.

Principals are regarded to come from the same size boxes according to most pay and assignment practices, with recognition only for elementary, middle school and high school assignments.

The Differences in Schools

A school located in an inner city slum area may be six times more demanding of administrative skills by the principal than one in a suburban neighborhood, but there is no difference so far as job description or salary may be concerned.

This fiction makes for convenience in the personnel office but ig-

nores reality. Standardized rating forms, in varying work assignments, become irrational.

3. *The job description describes the job.* Too often an official description of an administrative job in a school district is either fictional or obsolete. Although it may have at one time appropriately described the duties carried out by an incumbent, chances are that the description may be outdated or a personalized description tightly fitting one individual. Due to changing job requirements, position descriptions easily become inadequate. When a statement is not a fair description of the work being performed, it cannot be used successfully in connection with sound evaluation.

Everyone on His Own

Lack of good, written job descriptions represents a severe management handicap. Under these conditions, there can be a complete lack of understanding about what services actually are being provided by an individual.

In one school district, where job descriptions were lacking for administrators and supervisors, each individual was asked to draft his own. A serious situation arose in the case of one supervisor. The description of duties which was submitted turned out to be quite different from the kinds of duties the superintendent and others assumed were being performed by the supervisor.

After a series of face-to-face conferences about the differences, the supervisor persisted in continuing his own personal version of the job. Eventually he resigned.

4. *Success depends upon the evaluation paperwork.* It could be the report card which exercises this influence. The precise nature of "the instruments" of evaluation often reflect an abnormal amount of interest and concern when an evaluation program is being developed.

A Plain Piece of Paper

Douglas McGregor, the "father" of modern executive performance evaluation, was so disturbed about the preoccupation of evaluators in designing elaborate evaluation forms that he advocated, more than 20 years ago, a new start with one plain sheet of paper for recording significant outcomes for the final evaluation report.

Undoubtedly a great deal of time is wasted by administrative groups who search the country for the "perfect" evaluation form. Typically, forms acquired for adaptation seem to be lengthened rather than shortened. As might be expected, the outcome in many

instances seems to be a management of paperwork rather than evaluation.

5. *Any idea from another field is contaminated.* The chasm between management knowledge in educational administration and other management fields appears to be so great as to be disturbing. There is disbelief among many school administrators that there could be valuable exchanges of information about techniques and experiences in evaluation.

Until very recently there have been limited opportunities in educational management for the study of comparative management methods. A quarter of a century of experience and research into methods of management development in business, for example, has largely escaped the notice of large numbers of those who work in educational administration.

Younger administrators, particularly, have become aware that business management represents a very broad spectrum of capabilities in management science. But many school executives labor under a misimpression that management in other fields is decades behind the times. Neither education nor industry has a monopoly of outdated management methods.

The Brief Track Record of Educational Management

Until very recently, educational administration could make few claims for contributions to the art and science of executive development through performance evaluation. Most of the knowledge has existed in a relatively small number of major corporations and business associations, the armed forces, some governmental departments, and a few business schools.

Most of the literature and research findings about the improvement of management through performance evaluation exist largely in business-oriented literature. During the past few years, however, there has been a great increase in personnel evaluation literature in educational management. It has been concerned almost entirely with the improvement of teaching performance. Some of the advanced procedures go considerably beyond general practice not only in education but in industry, too.

6. *Every idea is a good idea.* The proposition that those to be affected by an evaluation program should be involved in its development is very valid. It should not be assumed, however, that every idea produced by a planning committee will have great avidity.

Developers Must Know the Principles

Those charged with the development of a local evaluation plan have a responsibility to become familiar with basic principles and

objectives of personnel evaluation and the evolutionary steps which have occurred since the mid 50s.

It becomes very easy to assume, when dealing with evaluation plans, that the failure of a plan has been due to the plan and not the people involved in its implementation.

In education, particularly, there is painful concern among the planners that numerous protective devices be built into the machinery to guard against unfair treatment of the evalutee. This behavior may be due, in part, to the "egg grading" tradition of educational rating and its link to dismissal procedures. There is more than a little suspicion that evaluation must necessarily be a negative activity. A climate of mutual trust and open communication may be unknown to those in the organization.

How Distortions Arise

Distortions are most likely to creep in when the planners stray from the basics of a sound program and, knowingly or unknowingly, divert emphasis to subjectivity and preoccupation with guarding participants from each other.

In one California program, the assistant superintendent for business affairs of a school district has 120 "co-evaluators," whose combined reaction to business services is supposed to represent an evaluation. This was an obvious misunderstanding by planners of the data monitoring-feedback principle and substitution of an opinion poll for an analytical evaluation.

Peer evaluation was attempted in a midwestern district and was based upon the idea that evaluatees should select their own evaluators so that there could be a "positive" evaluation. Peer evaluators were assumed to be more knowledgeable than regular administrative superiors about evaluatee jobs. The result was disaster. Evaluators turned out to be unreliable, adamant about the superiority of their own personal job approaches over those used by the evaluatees. In addition, the evaluatees exhibited little interest in the developmental aspects of the plan.

Planners often flounder because they fail to think through and understand the basic principles of performance evaluation before acting. The use of the peer evaluator, in the absence of both objectives and direct administrative responsibility, tended to weaken rather than strengthen the ongoing relationship between evaluatee and supervisor. In this situation the evaluatee's supervisor was unable to play any knowledgeable supportive role.

Substituted as evaluator is a person with no responsibility for the success of the evaluatee and without authority or ability to provide help which might be needed to enhance the performance of the evaluatee.

7. *Evaluation is measurement.* It is easy to fall into the trap of believing that all administrative efforts and responsibilities can be measured by some handy-dandy test, yardstick or checklist. If this is not possible, then evaluation frequently is said to be impossible. This viewpoint, of course, is stressed by those who have been accustomed to some type of rating.

The analysis of results, when used as the basis of evaluation, does not necessarily require a yardstick. It does call for a predetermined method of being able to know whether success has been achieved. An absolute corollary of a performance objective is an agreed upon statement describing "how we will know when success has been achieved."

It May be the Objective

A great deal of effort frequently must be expended to find elusive success guidelines. However, if it seems to be impossible to develop a way of documenting success, then the objective should be carefully reexamined.

When it is not possible to document achievement, danger signs should start to flash.

The business of measurement represents the end of the evaluative job in conventional plans. No particular attention is given to the analysis of what happened. What caused success? What worked against it? What should be done in order to take full advantage of the knowledge and experience acquired?

8. *Goals are dreams.* The confusion in school districts between statements of educational philosophy ("this we believe") and board-adopted goals for achievement ("We're going to get from where we are to here") has been a bad handicap for performance evaluation programs. District goals become the source of performance objectives, or "target objectives," for the district, departments, buildings and individual administrators and supervisors.

Sound Objectives Require Sound Goals

A goal is a desired destination. An objective is a map which provides a strategy and plan of action to get there. Sound goals, thus, must be reachable if valid objectives are to be designed to reach the goals.

9. *Procedures Are Results.* This is true — sometimes. The design or installation of a new procedure can be a very purposeful objective under certain conditions. The procedure, successfully completed, may move a district a long way toward achieving a specific goal.

On the other hand, the carrying out of simple procedures may

represent subversion of a performance evaluation program. One superintendent tells laughingly of a principal who stated that his main objective for the year was knocking out a partition wall between two classrooms.

Much of the work of administrators necessarily involves the carrying out of processes. In new evaluation plans for administrators and supervisors it is very normal for many evaluatees to select process-type objectives. In the longer term, objectives should include a majority which are aimed at improvement results and not running familiar pathways which may be of little value in terms of executive growth.

10. *Criticism improves results.* Criticism may actually serve more as therapy for the evaluator than improving the performance of the evaluatee. One of the nation's greatest corporations a few years ago took advantage of a highly unique situation to study two different types of evaluation in action.

Side by Side Test

During the study, which lasted more than one year, one group of technicians and middle management employees had been evaluated under the traditional superior-subordinate arrangement. The other group practiced performance evaluation and the evaluator and evaluatee maintained a "person to person" relationship.

Among the main findings were these: Criticism has little positive effect in the attainment of objectives. The strongest criticisms produce the least improvement. The greater the number of criticisms the greater the likelihood they will be rejected.

11. *Workers must have watchers.* It has been assumed for generations that people are naturally lazy and that they dislike work. The only way to assure good performance, it was assumed, was to require the supervisor to keep the supervisee under close surveillance.

This view has had a profound effect upon the shape of institutional and business work organizations and supervisory "principles." The latter have been accepted without challenge.

Enter Theory Y

Only during the past two decades has the assumption been widely disputed. It was challenged most eloquently in the "Theory X and Theory Y" contention advanced by Douglas McGregor in 1957.

McGregor's Theory Y declares that man can enjoy work and derive great satisfaction from it, particularly when he is involved in the planning of the work and has achievement objectives which he has helped to design.

During this same year, McGregor administered a blistering criticism of conventional evaluation programs which, he said, were not successful in management development efforts because they failed to emphasize the analysis of the outcome of the work effort and, most significantly, because the plans failed to give more of the initiative in the entire process to the evaluatee.

12. *The boss knows the job best.* In very small organizations, the boss knows a good bit about all of the operations performed in the enterprise. Even then, he may not excel at all of them. With the passing of time, changing technologies and the growth of organizations, the boss inevitably becomes less certain of every intimate detail of the work being performed by others. Sometimes there are unfortunate situations because the boss insists upon the continuation of practices which may be obsolete and inferior.

Reducing the Risk Through Involvement

The risk is minimized when the persons who actually perform the work and services become involved, as is the case in a good performance evaluation plan, in the planning, operational progress checking and, ultimately, the evaluation of the outcome.

13. *Evaluation establishes blame for deficiencies.* The analytical approach to evaluation is as much concerned with the diagnosing of success as it is with difficulty and failure. In the case of the former, the challenge is to find ways of capitalizing upon success. If evaluation discloses problems, the objective is to determine precisely what kind of corrective action may be required so that it can be taken.

14. *Money makes the difference.* Merit pay continues to be a controversial aspect of evaluation when the chief purpose of the plan is to arrive at a basis for the paying of salaries — or a portion of the salary — according to a determination of the quality of individual performance in the organization.

Several underlying assumptions may apply. The "carrot and stick" belief assumes that an individual ordinarily does not perform at his best level in return for his salary. He will, however, be motivated to work at a higher level of achievement if given the prospect of additional salary based upon greater accomplishment.

Winners and Losers

The "reward or punish" belief in merit compensation assumes that individuals will perform more successfully if they have the incentive of a monetary reward for greater accomplishment — but that they also will work harder under the threat of losing a bonus.

Additional merit pay assumptions which must be made are that

existing regular salaries are equitable and competitive, that merit pay actually will be available in amounts significant to make the incentive effort worthwhile in terms of take-home pay.

Finally, standards of accomplishment must be fair, realistic and beyond the possibility that they can be rigged in order to enable the top boss to reward his favorites and to penalize those who are not among the favored.

They Don't Mix

When top management's main interest in performance evaluation is for merit pay purposes, chances are that the plan will never become a primary means of developing managers on the job. This has been the candid experience of many enterprises which have attempted to mix performance evaluation with merit pay.

15. Top management support is optional. One of the reasons why performance evaluation has been slow to develop in many kinds of organizations has been the slowness of top management to understand the full significance of the development.

This is unfortunate but understandable. In large companies, the association of the plan with management development and the identification of promotable executive material has caused top executives frequently to view the activity as being something to be associated with the training operation. Or, if the emphasis is upon merit pay and classifications, the big bosses have linked the operation with the personnel department.

Unfortunately, the growth concept of performance evaluation as a dynamic and comprehensive corporate strategy for raising the overall performance levels through full executive team recognition and involvement, has escaped many top management people. They have been preoccupied with financial details, organization structures and strategies of their own making.

Middle Management Initiative

Much of the initiative in developmental performance evaluation has originated with middle management personnel and specialists in executive development.

The greatest progress in this area has been made largely by those companies and agencies where the chief executive has grasped the rationale and promise of performance evaluation to uplift the effectiveness of the entire management organization.

15. Language is unimportant. One of the most serious of all problems in evaluation is extremely poor communication. This is not a phenomenon which is peculiar to educational management. Bad

communication is at the root of basic developmental evaluation programs in most fields. Oddly enough, the source of the problem nearly always goes unrecognized.

It seems incredible that top executives would seriously believe two formal meetings per year between evaluator and evaluatee, for purposes of objective setting and performance review, could actually improve performance to any substantial degree. Despite poor results and lots of advice, some plans still adhere to the pattern of two communication shots per year as a planned communication pattern for performance improvement.

Playing Games in Communication

Sloppy language has been a longtime characteristic of evaluation. Some of the historic reasons undoubtedly stem from a preoccupation with personality rating and other subjective yardsticks. Doubletalk and deliberate masking of intent no doubt have been involved, too. Most of the difficulty, however, probably results from fuzzy thinking. When the evaluator alone sets the objectives, there is a lot of room for confusion. Even if the task initially is performed by the evaluatee, there is no assurance that either party has a crystal clear understanding of the objective.

If a performance objective for a principal states that "the principal will spend at least 40 per cent of the time in the classroom," what is the evaluatee to make of it?

Is the principal expected to spend 40 per cent of his or her total job hours in the classroom? Or just time away from the desk? Every day? Monthly average? All classrooms? What are the expected results to be? What will be the success indicators?

There is general confusion about a great deal of the terminology used in evaluation systems. For example, "goal," "Need," and "Program" all have been used to designate the term "objective" in different plans.

The Communication Traps

Unwritten communication includes at least as many traps as does that put in writing. This is true, particularly, when there is little regular communication between evaluator and evaluatee during the period of work performance.

The objective-based evaluation program infers that the evaluatee works with substantially more independence. But this can be a self-defeating plan if there is weak evaluator-evaluatee communication.

Since both parties ordinarily hope for results which will be suitable to the boss, the evaluatee can easily persuade himself not to

take too many risks. He may believe that his task is to do things the way the boss would have it, but without asking for any help. The boss, on the other hand, may understand that the evaluatee should do things on his own but with help from the boss when needed. If there is too much help from the boss, then the evaluatee did not really do the work on his own; if there is too little help from the boss and the evaluatee botches the work, should the boss conceal his displeasure?

These pitfalls suggest why, in recent years, there has been such a rising interest in the design of performance objectives, the increase in numbers of "progress sessions" between evaluator and evaluatee during the performance period and the concern about a mutual study of performance data.

Non-communication can be as bad, if not worse, than sloppy communication. It is fundamentally destructive to the basic relationship between those who work together. A zipper-lipped executive who fails to communicate regularly with those under his supervision about work progress and planning is unquestionably a destroyer of morale and performance potentials. Too often he does not have the foggiest notion about what is taking place or the extent of damage which he is causing.

17. *Evaluation improves results.* These days this is almost invariably the claim which is made for an evaluation program of any kind. It is not a new claim. This contention much of the time is pure bunk. Most evaluation plans in education are designed to carry out paperwork in connection with probationary employment, tenure and dismissal procedures.

MBO programs, in some instances, probably come closer to a type of systematic review of organizational and individual performance than others. But subversion is quite possible when there is a desire to manipulate.

The bureaucratic mind does not take kindly to the idea of performance evaluation. A major difficulty with performance evaluation has been persuading middle managers to design objectives for themselves which genuinely call for on-the-job growth.

18. *Evaluation comes naturally.* Rating comes naturally. So does subjective evaluation. But performance evaluation calls for a complete reorientation to supervision, and the attitudes and understandings of those who supervise and are supervised.

A developmental program forces those in an organization to view the performance of work in a new light and to regard bosses and subordinates in what constitutes an entirely new relationship in most organizations.

Thus, the gaining of practice in positive performance evaluation probably is as important as endeavoring to come up with a top notch plan. In fact, once there is a rudimentary understanding of whatever plan may be designed, the next most profitable step for all of those involved may be "dry runs" and pilot efforts in order to gain and share experience and to achieve operational competence and confidence.

CHAPTER 4

Touching All Bases

One disconcerting characteristic of a good performance evaluation program is that it has no visible ending. Like life, it proceeds continuously, actively involving administrative personnel while they are associated with the organization. But there can be no aimless wandering.

As in a baseball game, for example, there are important bases which must be recognized and fully understood — and must be touched in the proper order and without fail during every cycle (See Figure 1, Page 70).

Some evaluation programs limp along and never mature. Components may be missing or are misused. This has been the case in many work organizations. Some of the components, historically, have not been used widely or have been minimized in their importance.

Performance evaluation is not complicated, although some attempt to mix evaluation with rating or compensation efforts have yielded marvelous creations of complicated formulas, checklists and point systems.

Building a Sound Foundation

Five questions constitute the foundation of a good performance evaluation program:

- What are we trying to do here?
- What shall we attempt in order to improve our performance levels?
- How will we know we are making progress?
- How will we recognize success?
- How can we take advantage of what we have learned?

The simplicity of this approach to evaluation is somewhat deceptive. Determination of the answers to these questions in advance of performance action requires an effort which ordinarily is not formally applied to work planning.

Work in virtually every organization is neither planned solely by an individual nor carried out in such a fashion. In many educational organizations, where there is a physical decentralization of work places, a lack of clear goals, many specialized work assignments and a laissez-faire tradition of supervision, those in the organization tend

to see themselves functioning on separate tracks. Interdependence is not recognized.

The organization on paper may contrast sharply with the real life organization to a degree which may occasionally offer embarrassing management surprises.

There may be the old superintendent the school board wanted to fire but did not dare to buy up his contract. He now appears on the organization chart as a "research director," but he actually is planning the cutbacks which will be necessary because of declining enrollments. His office is next to that of a public relations director, whose job description labels him as adult education director.

The administrative assistant, who was hired to write proposals and to get government and foundation grants, is spending most of his/her time as affirmative action officer, managing details of the affirmative action program mandated by the federal government.

The personnel director is similarly situated. The time he formerly spent in recruiting has been reduced to almost nothing. For six months he has been working on an added assignment to developing an accountability plan which has been set up by the state board of education.

Most of the job information which has been described above does not appear in the job descriptions, which have never been updated or contain deliberate omissions.

The development of a performance evaluation plan, which clearly sets forth its goals, objectives, and procedural steps, may still offer little promise for success unless it is undergirded by a genuine understanding of the work being performed by administrative and supervisory personnel.

Improvement on the job is doubtful, and genuine supervision is impossible, if there is faulty information about who is doing what. Any thoughts about improving job performance must necessarily be preceded by knowledge of the actualities of existing job performance.

Improvement also requires some legitimate base to move from if the effort is to have validity. Such a base has been called by several different terms in various evaluation plans. Some of these are "performance standards," "yardsticks," "benchmarks," "standards of excellence," etc.

In some plans, there is the inference that the standards should be statements of perfection. Such statements may be so far from reality as to destroy belief in the objectives of the evaluation plan.

A good job description, which actually describes the work to be performed by a fully competent person in that position, can serve as a statement of standards for a given position. The quality of job de-

scriptions in a good many districts, as had been indicated, leaves much to be desired. In some instances, the description has been skewed so that it fits only the incumbent. Another typical shortcoming is the management pretense that all jobs having the same general title also possess the same job requirements.

A single job description for all secondary school principals, for example, may be more fictional than descriptive of any single position with that title.

The Job Description Must Actually Describe

If job descriptions are to be used as the standards base in administrative evaluation, they must be reviewed carefully. Evaluator and evaluatee must be in mutual agreement that the position statement describes the job involved when it is well-performed.

A problem frequently bothersome to those developing evaluation plans is that the job description may lack any reference to personal qualities. Despite all of the cautions about attempting to evaluate personality traits, the belief that these must be judged is strong in many educational organizations. This preoccupation sometimes exists because of the absence of "hard" performance results content in previous rating systems.

Thus, there is concern that there should be spaces on the evaluation instrument for the specific grading of honesty, loyalty, sense of humor, thoughtfulness, etc., of administrators and supervisors. Although newer plans in school districts do tend to show an absence of personality rating, many systems apparently cannot bear to relieve the evaluator of such a God-playing responsibility.

A Behavioral Code for All

One relatively simple solution to the problem of advising all administrators and supervisors that good job performance also calls for high standards of personal behavior is to draw up a code describing proper behavior for members of the administrative-supervisory staff. It serves, in effect, as a job description of personal attributes and behavior minimums which apply to anyone serving in an administrative or supervisory capacity.

Under this kind of an arrangement, personality traits have no place in evaluation except as they may relate directly to the achievement of a performance objective and can be supported by performance data. Otherwise, the fault must be regarded as an alleged violation of administrator-supervisory code to which all persons in that group subscribe.

Goals Point to Desired Standards

In addition to job descriptions, individual administrators and supervisors may look increasingly to school district formal goals, adopted by school boards, as sources of standards.

A goal points to major directions of intent and desired general achievement which ordinarily has no specific time frame or blueprint of operational specifics. In effect, it is the school board's formal statement of where the school district should be at a future time as stated in qualitative terms. It represents desired standards to be achieved.

Districts using management by objectives and program budgeting systems are supposed to operate on the basis of organizational goals which are implemented by specific action objectives adopted at institution, division, unit and individual levels.

Some standards, increasingly, are being set for the school district by bodies which themselves have no direct accountability to the school district and are only indirectly accountable to the public. Congress, federal agencies, state legislatures and agencies, and the courts, are mandating that school districts achieve specific conditions and adhere to or abandon certain practices, policies and programs.

Employee unions and organizations, even less accountable to the public, can have great impact through collective bargaining upon the nature of work in school organizations and this, too, must be recognized as a source of standards.

Thus, there can be a close relationship between goals and standards when it has been determined that the achievement of certain standards is a desirable or necessary goal. Goals, of course, may be adopted by school boards which are not necessarily related to specific existing standards.

Objectives Design: The Most Important Step

All of these sources afford the basis for selecting improvement objectives in a performance evaluation program. Unlike a goal, an objective is a planned accomplishment which, under specified conditions and in a given time period, can be attained in accordance with predetermined evidences of accomplishment to help fulfill a related goal.

While an objective ordinarily is linked directly to organizational achievement, it can sometimes concern itself with personal competence which will benefit the organization.

This contrasts sharply with the sabbatical leave type of personal improvement which often is regarded by boards and staff members

to be a type of personal "reward" opportunity and, by taxpayers, as an outrageous ripoff.

The big breakthrough in designing performance objectives has taken place largely during the past decade. Prior to that time, it was believed generally that the evaluator should provide the evaluatee with objectives which had been devised solely by the evaluator. This still is the practice (and, possibly, a major weakness) in quite a few industry-developed models, like some MBO operations which have been carried over into education.

The idea of the evaluatee, not the evaluator, serving as chief designer of his proposed objectives, clashes sharply with the "boss knows best" approach. Similarly, it is in opposition to the thesis that the job is a place for performance and not necessarily personal growth.

Nevertheless, the trend toward ever-deeper involvement by the evaluatee in performance evaluation has continued at a rapid pace. This trend acknowledges many realities of higher skilled jobs, particularly those which involve technical skills, and those who perform them. In many, many organizations the person doing the work unquestionably does know the job better than anyone else. When invited to study thoughtfully and propose personally how an aspect of the job might be improved, chances are that the organization may have received from the incumbent its most competent advice for improvement.

Then Came the Obvious

Let the evaluatee develop the proposed performance improvement objective and present it to the evaluator for review, comparisons with alternatives, and modifications, if necessary. Out of the review and joint planning may come confirmation that two heads are better than one.

A few years ago one of the major problems in teacher performance evaluation planning was getting participants to understand the essentials of a good performance objective. The situation has changed markedly with the advent of pupil behavioral objectives, individually prescribed instruction, learning contracts, and other systems which require clear statements of objective expectancies, conditions and evidences of achievement.

If large numbers of teachers are now able to construct sound behavioral objectives for students, it is very likely that administrators will be capable of making their transition to a performance-based kind of evaluation.

Objective design is an exercise which improves with practice — by both evaluatees and evaluators.

Not all objectives will necessarily be of the performance improvement variety. Some normally will fall into the "process" category and may involve carrying out a procedure which has a high priority like closing out a school, installing a major new student code, setting up a new accounting system, and the like. As was pointed out earlier, one of the hazards of using process objectives for improvement *evaluation is that they can be abused and misrepresent routine regular performance.*

The superintendent who claims his objective for improvement of community relations merely is continuing to attend civic club luncheons is helping no one understand what is meant by developmental performance evaluation.

From Objectives to Performance

The amplification of a one or two-sentence formal statement of a performance objective may frequently require a more detailed supplementary statement which describes the undertaking in greater detail, including the specifications of conditions, assistance required, other persons who may be involved, and the specifics of performance data to be used to determine progress and success.

This detailed program, which in part may be a verbal sharing between evaluatee and evaluator, represents a more precise specification of what will be attempted. The development of the program may be completed after the initial planning session between evaluator and evaluatee and the adoption of the formal statement of objectives.

The involvement of the evaluatee in the work to be carried out, to this extent, offers personal job satisfaction values in addition to increasing the likelihood that there will be better job understanding and improvement.

Special Problems in a Bureaucracy

In a bureaucracy, the enthusiasm and drive of the very able administrative and supervisory employees may be stifled as they perform duties which afford little evidence of achievement. This is true, particularly, when the work involves intangibles and few obvious evidences that the effort personally has been worthwhile.

Performance evaluation, in a sense, opens the door to a quality of entrepreneurship in planning, job execution and recognition, in league with a partner-counselor-coach, which the large organization, until now, has been unable to provide. Thus, it may be possible to nurture and develop job enthusiasm, skills and career potential to a greater degree than ever before, rather than blunting or extinguishing them in the deadening routine of bureaucracy.

Monitoring the Old-New Dimension

The monitoring of performance data, next to breathing, comes about as naturally as anything. Yet it apparently is difficult for many to understand its function in evaluation.

Kids do it. Adults do it. The activity becomes almost a reflex action.

If an automobile trip is taken for the first time to Centerburg, the driver keeps an eagle eye upon the highway direction signs. They feed back to him progress data. He must have it in order to avoid getting lost. In the airliner overhead, pilot and co-pilot are preoccupied with scores of dials and pointers which feed back comprehensive information on performance — how well the plane is performing, and progress being made toward the chosen destination.

Golfers check their efforts against par for each hole on the course. The girl waiting on a date notes the appearance of her hair and makeup in a mirror. The cook consults the oven timer and temperature controls. The carpenter uses a steel measuring tape and a level to make certain that specifications are being followed.

The data checking, in every instance, is regarded to be both very normal and essential behavior. In each instance, when the data indicates a condition where things are not going according to plan, there is immediate concern. It is time for an examination, consultation perhaps, and the possible taking of corrective action. Success is known to hinge upon the proper regard for and use of performance information.

Why the Blind Spot?

Why does this whole business of data and feedback constitute such a blind spot in many evaluation plans, particularly those involving executive personnel in positions where convenient sales or production records do not apply?

Operational improvement in many evaluation plans is abandoned at this point. This fault has caused many plans also to yield minimal benefits.

In most discussions about evaluation plans, a great deal of attention is given to proper execution of the basic organization plan and the mechanics of designing objectives and handling the evaluation conference. But the whole area of data and its use is likely to be given a minimum review. The gap may be easy to come by because there are no standardized kinds of paperwork involved. Nor are there time elements or conditions which mandate specific responses by either evaluator or evaluatee.

The 'Gotcha' Handicap

There may be underlying reasons and traditions in education which have hampered the data concept as it applies in performance evaluation. One of these possibilities is the "gotcha" complex. In rating systems there seems to be a secret compulsion by the evaluator to use the data for punitive purposes. While the evaluator may pay little or no attention to success data regarding the work being performed, he is very much motivated to discover negative tidbits about the evaluatee and the performance. These are squirreled away by the evaluator until "the day of reckoning" when the evaluator and evaluatee have a confrontation at the close of the evaluation period. As one superintendent has described the scene, the evaluator pulls out his negative notes and, to the evaluatee, he says gleefully: "Gotcha!"

Such administrative behavior, of course, is ludicrous if the objective is to improve performance. This kind of treatment virtually assures a lack of success. The evaluator, rather than the evaluatee, must bear much of the responsibility for the evaluatee's inability to succeed.

The entire concept of data, as used in an evaluation program seeking to bring about improved performance, bears no relationship whatsoever to the collection of data in rating.

Results Analysis Has Had Little Appeal

Data is construed to be "evidence" when rating is used in a judgmental sense. This viewpoint stems undoubtedly from the traditional report card judgments which teachers make. The letter grade scarcely offers any basis for results analysis. State legislatures, too, tend to support a narrow interpretation for the use of performance data where statutes mandate regular evaluations of teachers and administrators. Significantly, the sections of the laws dealing with evaluation usually are to be found adjacent to legal sections about the dismissal of personnel.

The use of performance data for operational improvement and personal development does not necessarily rule out the legitimate use of performance data in making personnel decisions. In fact, when data is used in the analytical sense called for by developmental performance evaluation and follow through, it holds far greater validity for all concerned in any resulting personnel decision.

Performance Information's New Purpose

For developmental purposes and sound operational use, performance information should be thought of in an entirely new light, one

which could be construed as blasphemy by traditionalists in evaluation.

When there is a partnership relationship between evaluator and evaluatee regarding improvement needs and the setting of performance objectives, obviously the interest in performance information is something also to be shared.

Traditionally, performance data in American work organizations has been thought to be of primary value for top management. All formal reports dealing with organizational performance and output have been transmitted to the top of the organization first. Those performing the work have not been regarded to be priority users of the data. They may receive some data eventually in "trickle down" management communications. The classic use of data is understandable because performance objectives have been set in the "front office" and were handed down to lower levels for implementation.

Should the Last be First?

In a sound performance evaluation program, evaluatee and evaluator are most immediately interested in the nature of performance data and provisions for its feedback to the evaluator and evaluatee. They have primary responsibility for carrying out the work. They have set the performance objectives. They have the most immediate need for access to the performance information.

The feedback of performance information is vital where corrective action must be taken. If they obtain the data, "tor" and "tee" are in the best possible position to bring about early corrections. If a performance objective must be modified in order to achieve success, an immediate response is possible. This is true also when the data indicate an objective should be abandoned.

Periodically, there are news accounts of management bumbles in both public and private sectors which occurred simply because performance information was either not obtained or failed to reach those who might have been able to make operational changes and save the situation.

The evaluatee and evaluator, as prime users of the performance data, also have an enlarged responsibility to plan the nature of performance data and its delivery when they design the performance objectives. As the initiator in the design of objectives, the evaluatee must also shoulder a counterpart role as designer of performance data and monitoring sources for use by both evaluator and evaluatee.

Too often evaluatee has complained that performance data has been so inadequate as to be unfair to the evaluatee. When the evaluator becomes a designer of objectives in the positive evaluation pro-

gram, the evaluatee is obligated to play an action role in the design of the performance indicators which will be required for use by evaluatee and evaluator.

Information No Longer is Niggardly

In the successful program, performance information will more likely be bountiful than scarce. The evaluatee and evaluator will be seeking new and improved sources of data which they can share in checking progress made toward objectives.

This approach to performance data identification runs counter to the cliché uses which have long existed in education. Some teachers, for example, have traditionally declined to provide any information which might be used in the evaluation of a fellow teacher. This was considered to be "tattling" and "unethical." In the absence of evaluatee-planned objectives, this claim might have more merit.

If it should become general practice for evaluatees to be seeking the help of colleagues in collecting performance information, it is likely that this would contribute greatly to a profound change in staff attitudes toward evaluation. The handicap of "Gotcha" rating psychology, however, surely will retard educator understanding of the development and improvement values of evaluation.

Even in districts where there is a desire to have assistance in expanding the horizons of performance evaluation data feedback, it is not unlikely that the data collectors are to be identified improperly as "co-evaluators."

The prompt feedback of performance data to those who do the performing has been the subject of a number of fascinating studies in other management areas. The self-correcting results in performance have been spectacular.

The Ultimate Pattern

Some speculate that the ultimate in developmental performance evaluation will be a type of collegial evaluation within a framework of goals and objectives. It is obvious that success in such a venture will depend as much upon the feedback and use of performance evaluation data as any other factor.

Several large and well known corporations have very recently established experimental factories in which the hierarchial work structure has been replaced by work groups having no conventional "boss." One of the imperatives in making these work groups function successfully is the feedback of performance information so that members can be informed immediately of the results of their work and positively affect performance.

Another national company which has made extensive use of results information feedback has experienced an extremely beneficial impact upon operations. It began by asking employees periodically to monitor their performance against standards which they had set and assumed they were achieving. The self-knowledge of acquiring the data (which revealed that the assumed performance was actually 20 to 50 per cent below standards) was, in itself, sufficient to be fully self-correcting within 48 hours from the time the employees became informed about the results of their own data monitoring!

Feedback Makes Permanent Performance Changes

Continuation of the periodic self-monitoring showed that the performance correction was not a temporary phenomenon but had resulted in permanently improved performance. Some years later a new top executive took charge of one of the company divisions which had been employing self-monitoring and feedback. He felt that the practice was unnecessary and ordered it discontinued. Performance began to sag. After a few months, he was persuaded to permit one more round of monitoring and feedback. The involvement of those doing the work in monitoring their own performance results was again enough to hike performance to the level where it met standards.

One rather sad and revealing characteristic of numerous evaluation programs in education is a ground rule which compels the evaluator and evaluatee to hold some specified number of interim conferences during the work period being evaluated. In the case of teacher evaluation, the evaluator is required to make a specified number of classroom observations each lasting a minimum number of minutes.

Going Through the Motions

This infers a mechanical and procedural relationship, even one tinged with suspicion, rather than any kind of mutual "partnership" interest in performance progress toward the winning of individualized objectives.

Some plans, similarly, specify the holding of a certain number of "progress conferences" between evaluator and evaluatee. These, of course, are quite necessary. It is only unfortunate that program specifications appear to be needed to assure that the sessions will be held.

Some of the more realistic plans provide that either the evaluatee or evaluator can request a progress conference whenever one is desired. If performance data or other special circumstances have a

bearing upon one or more of the objectives, immediate attention can be given to the problem rather than being forced to delay action until the arrival of an inflexible date specified by an impersonal plan.

The New Sophistication

The entire accountability movement in education signals a new level of sophistication about performance information, its quality and use, and its communication to those having direct and indirect involvement in the educational operation.

This is reflected not only in the complaints of the public and legislators that educators must be able to justify their claims and programs in terms of results, but also in educator criticism of standardized tests, and the soaring classroom interest in instructional performance objectives, criterion-referenced testing, and other evidences of systematic planning and instructional accountability.

The compartmentalization of educational management, due to geographic, bureaucratic and traditional constraints, and the fact that it is a public enterprise, has resulted in unusually high requirements for performance information and feedback to a wide spectrum of participants.

These requirements are far more elaborate than can be satisfied by acquiring a computer and developing a conventional management information system.

Much of the trouble in which educational organizations find themselves today can be traced to inadequate performance information, inadequately communicated and used by those in the organization.

The foundation for corrective action lies in a sound performance evaluation program which first embraces the management personnel.

The Slow Evaluation Evolution

The making of an evaluation used to be a one-sided affair. The evaluation was something to be made by the evaluator. The evaluatee sometimes was given a chance to see the evaluation in the presence of the evaluator and was expected to sign it. This was merely for the purpose of documenting the fact that it had been viewed. If the evaluatee had any questions or objections, such intrusions were not regarded to be germane.

But that's the way it still is today in many school districts!

Under circumstances like these, evaluations have been something to be dreaded by both evaluator and evaluatee. In most instances,

the evaluator has not been in a position to acquire genuine performance information, except for personal "observation."

There might be in the files a collection of complaint reports of unknown validity. The evaluator has his or her impressions about the evaluatee. They may or may not be valid. In the absence of target objectives as well as performance information, the evaluator really has very little to do unless he wants to brave the risks of personality evaluation. What the evaluator is most likely to do is to first select something for flattery in the belief that this could pass for motivation. The evaluator might find a safe "flaw" to comment about in order to justify "room for improvement."

In the end, the evaluator has realized nothing but rather a pointless conversation. The evaluatee has sustained frazzled nerves worrying about unknown skeletons which might be extracted from a closet and largely uninformed comments about job performance.

The organization has gained nothing in terms of individual or organization betterment. This has been the fruitless history of much of the evaluation effort in public education. Plans have been used largely to fulfill legal attempts to force a very minimum level of supervision. Despite the claims that these evaluation practices typically are used for educational improvement, there has been no valid documentation of the claims.

How do evaluations differ under a plan of positive performance evaluation?

Two Evaluations — Or More

First of all, there are usually two evaluations. Under some conditions there may be more than two. Ordinarily the evaluatee and evaluator make separate evaluations, following reviews of the performance information which the two have been collecting during the work portion of the cycle.

An evaluation summary statement is prepared by each party. Comments are made regarding the nature of progress, or lack of it, for each of the performance objectives which had been agreed to at the start of the performance cycle. Most attention is devoted to performance results which were unique and unanticipated. This would include instances of tremendous success as well as difficulties.

In certain evaluations, a co-evaluator may be involved. In some unusual job situations where objectives selected are so specialized the performance data may be highly technical, a co-evaluator may be called upon to assist in the evaluation. Such a decision should not be one taken by the evaluator in secrecy. Rather, it should be a determination, probably one which has been discussed with the evaluatee, made at the time of considering the target objectives.

This specialized role of co-evaluator is one which must be differentiated from those persons who assist an evaluator-evaluated duo by simply gathering and feedback of certain performance data. The co-evaluator analyzes and interprets performance data in light of objectives; a supplier of data is not so involved.

Co-evaluators are recognized in some programs where there may be a supervisory ratio which is poor because there are large numbers of evaluatees per evaluator.

Top Level Evaluation is Desired

It is only natural for most persons in an administrative group, especially those having responsibilities for departments, divisions and building units, to want to be evaluated by the top administrators rather than to be buried several layers deep in the hierarchy.

The top administrator also may want to keep as closely in touch with as many individual administrators as possible in order to maintain the personal touch of coach, communicator and counselor. Some type of direct relationship also is needed if the chief executive hopes to build and maintain a strong management team.

This opportunity exists under a positive performance evaluation program.

One or more assistants to the top executive may fill the role of surrogate evaluators and carry out all of the evaluator's responsibilities in relationships with the evaluatee. However, the top executive serves as a reviewer of the evaluation. This would include a review of the performance objectives selected by the evaluatee and evaluator.

The Top Boss Can Take Part

Thus, the evaluatee is assured that his work plans and results will be seen and reviewed by the top boss. The assistant also is aware that his contribution as evaluator will not go unrecognized (Note: Too often the evaluator's special efforts and skills at helping the evaluatee *do* go unknown, unrecognized and unrewarded).

One additional value, perhaps as important as the reviewing of the evaluations by top management, is the opportunity thus afforded to gain a far better understanding of the workings of the organization than has before been possible.

It is not easy in staff meetings or informal conversations to acquire the high quality operational information of plans and results which are revealed in a good performance evaluation program.

Evaluating the Evaluator

Obviously, a review of evaluations also affords great insight into the qualities of administrative team member skills as evaluators. In at least one instance, the review of evaluations made by an evaluator has served, in part, as the evaluation of the evaluator by his superior.

The evaluation reviewer plays an extremely sensitive part. If he abuses his role by intruding and, as an unannounced third party, brashly substituting his own judgment for the considered efforts by the evaluator and evaluatee, he most certainly has destroyed the evaluation program and probably more. On the other hand, if he defaults on his role, he also risks destruction of an important vehicle which his colleagues may value highly.

Co-evaluators and evaluation reviewers both represent departures from the classic evaluation formula. Decisions to incorporate either feature into an administrative evaluation plan designed for performance improvement of the individual administrators should be made with considerable caution.

The Evaluation Conference

For trauma, suspense and strain upon the evaluator and evaluatee, there is nothing like the conventional evaluation conference where the outcome of a personality rating will be discussed.

On the other hand, were it not for the deep personal involvement of both evaluatee and evaluator in a positive performance evaluation program, the meeting most certainly would be dull.

There are likely to be no surprises at the latter. Both parties have had a hand in deciding upon the performance objectives. They have rounded up and shared performance information, and have discussed problems and progress all during the work cycle. They have observed the effort from the viewpoint of partners.

What is there to talk about? Any differences in the two evaluations would be a starting point. Most of the discussion probably would not deal with what had happened because both would know. The evaluation conference is more a setting for analysis than for an exchange of facts which both have shared previously.

The Significance of Discovery

There always are mysteries about why certain ventures were unusually successful, while others may have been disasters. In either case, finding the answers and meanings can be tremendously important. In some cases, the entire organization and other districts across the country may benefit eventually from such discoveries.

The analysis of the significance of performance results should be the main burden of the evaluation conference. In the case of most objectives, assuming they were properly designed and performance information specified and received, the conference should be one of expressing mutual satisfaction and congratulations.

Evaluator and evaluatee in developmental performance evaluation are professional explorers who seek pathways to improved future performance.

This type of evaluation conference, of course, clashes sharply with tradition. The evaluation conference in performance evaluation is future-oriented. Evaluation conferences based upon ratings are anchored to the past.

The Vital Follow Up Step

Part of the agenda of the performance evaluation conference between evaluatee and evaluator is a determination of what is to be done with the new knowledge which has emerged from the evaluation cycle and has been identified by the partners. How can the results of the long effort be used to capitalize performance improvement efforts?

Most evaluation programs, unfortunately, come to a grinding halt following the consideration of the evaluations. The cliché outcome of many teacher evaluation programs at this point has been to determine whether the teacher should be sentenced to "inservice."

Obviously, few developmental benefits are going to be derived by the school system which holds to such "canned" ideas about staff growth.

Since a good performance evaluation program permits and insists upon individualized analyses of growth requirements, it is not very realistic to think that every need can be matched by a course, workshop or seminar.

A review of administrative staff evaluations and follow up sessions can, however, produce valuable information about specific developmental needs of the administrator-supervisory staff. In effect, an annual developmental needs survey is a built in product of the developmental performance evaluation program. Common needs can be identified where they exist.

Individualized and Innovative

Follow up planning, under a good evaluation plan, is very likely to be individualized and innovative. Perhaps the conditions existing in some of the previous performance objectives will be altered because of newly-discovered conditions. Or a previous objective may be

abandoned because it has been found to be unrealistic in terms of future school district operations.

The study of performance results may suggest to either evaluatee or evaluator a completely new approach to a particular kind of job challenge.

This joint effort to determine strategies and steps for improvement, potentially, holds extreme significance for school districts desiring to assure administrative-supervisory job satisfaction.

The Real Reason Why Unions Hate Evaluation

Unions ordinarily do not look favorably upon developmental performance evaluation, even though this type of evaluation frequently is endorsed in member communications. There are overriding practical and philosophical reasons for this cold shoulder.

Unions are dedicated to group interests. The individual has no status except as a dues-paying member and as one of a group which is covered by a labor agreement. As such the individual member has certain rights and responsibilities, shared by all other members, which the organization is obligated to defend or insist upon.

But the individual's job success and career are beyond the concern of the union. Because individual concerns could differ greatly from group goals and concerns, individual concerns constitute a negative factor in terms of union strength and growth.

Job gains and improvements are defined in terms of group member rewards and the enlargement of union influence and control over the management of the organization — and not in terms of strengthening capabilities of the individual or the school district.

Performance evaluation identifies individual success as being linked to organizational success. The contribution of the individual not only is recognized but it is fostered, developed and celebrated by management.

The individual is recognized to be part of the organization rather than a member of an opposing group. He has a direct voice and influence in the determination of personal work objectives and ways in which the work is to be conducted. The individual's personal contribution and involvement continues through the analysis of the results of the work performed.

Although there is no reason why a developmental performance evaluation program could not be compatible with a strong employee organization, this probably mandates a major adjustment in conventional management and union thinking.

Relating the Unrelated: A Systematic Approach

Superintendent Podacarpus, abandoned back in Chapter 1 following his nightmare and vivid session with the evaluation supermarket clerk who talked of two decisive questions to be asked and answered, took a customary evening stroll. He was unconvinced that it helped his waistline. But it was relaxing.

At the turn-around was an inviting old transit line bench which, ordinarily, he regarded to be just a halfway marker. But tonight there was a full moon. Little clouds scudded across its face. Podacarpus sat down. He leaned back to view the scene overhead. There was the slightest whisper of a mild breeze. It was somewhat hypnotic.

Until the little man spoke, Podacarpus was unaware that he had been joined on the bench. The face was familiar. Probably a neighbor whose name he should know.

"Hello," said the man.

"Nice night," said Podacarpus, stating the obvious. The little man, gazing at the moon, nodded.

They were silent a long time.

"So many misunderstand the moon," said the little man as he rose to his feet. Podacarpus looked questioningly.

"On a night like this it is valued for its beauty," said the little man. "Otherwise, it is ignored. Moon is there. Earth is here. Few ever understand the connection."

"But the tides," objected Podacarpus to the little man's departing back.

"It's like evaluation," came the faint response. "They can't see the connection."

Then Podacarpus remembered his face. It was the clerk in the nightmare. He lurched to his feet. But the little man had disappeared. Podacarpus smiled foolishly. He must have dozed. He had a stiff shoulder muscle. But it was the little man.

First, there had been the two mysterious questions. And now, "the connection."

Performance evaluation programs, in most instances, in industry,

in education and other fields, possess a lunar-like quality in the minds of the users. A plan has visibility at certain times. It is recognized as having some relationship to the enterprise. Chances are very good that the evaluation plan is not viewed to be essential to the success of the organization or even to have any decisive influence upon the quality of ongoing work being conducted by the organization.

In other words, most evaluators and evaluatees see the performance evaluation operation as being something which exists separately from the mission of the organization.

There is no understanding that the evaluative function should be a thoroughly integrated part of the organization's chief purpose.

Rather, it is believed that performance evaluation operates something like an eclipse. It occurs at intervals and must be experienced as a phenomenon outside the main function of the organization.

This gap probably is the greatest problem to be encountered in implementing a sound performance evaluation program. There is such a strong historic conviction at all levels that evaluation must be a separate post-operational examination of the individual contribution that the concept of evaluation and work performance continuously associated is very elusive.

The Misunderstood 'Progress Conference'

The specifications in some evaluation plans that there be evaluator-evaluatee conferences in specified numbers or at certain intervals during the year are intended to guard against placing an evaluation at the mercy of a single observation period or gathering together of performance information. These provisions are not intended to make the activity an integrated operational function. They are supposed to serve as an insurance clause for the evaluatee.

Thus, evaluation limps along as an "outsider" in the main business of the enterprise rather than a fulltime partner in the minds of those who engage in evaluation. This is true also in fields other than education.

The obvious answer to the dilemma is some kind of management invention which will weld the evaluative function to the operational function.

The invention exists. Unfortunately, it has not been recognized except by the leaders of a few organizations and agencies.

A sound management system compels that, in addition to having operational goals and objectives, there must be a continuous monitoring of the activities being carried out to reach the objectives. As has been stated, this requires information feedback to check progress and problems and to make necessary modifications in operational efforts and strategies.

A number of school districts over the country have attempted to adopt one of two popular management systems, a planning programming budgeting system (PPBS) or management by objectives (MBO). Some of these efforts have stemmed from mandates by state legislative bodies as a response to ever-increasing demands for increased funding even though school enrollments have been declining. In other instances, school boards have pushed in this direction for reasons of accountability and to obtain more management information required to justify higher funding requests.

Performance Evaluation Can be Used with PPBS or MBO

Both PPBS and MBO have striking similarities in their goals, objectives and activity cycles. So far as performance evaluation is concerned, either system could be satisfactory, technically, for integration and implementation.

There is seeming disbelief that this is possible in education. State legislatures which have mandated accountability systems and school personnel evaluation plans have never linked the two together. In this respect, the legislators are not unlike educators. Where there has been a statutory or other interest in PPBS in education the term "Budgeting" has become its Achilles Heel. It has been assumed, almost automatically, that PPBS must be a school business department function.

The term "Management" in MBO has telegraphed to naive educators the notion that the system somehow has application only for administrators in private industry. So strong is this misimpression that operational MBO programs in school districts rarely use the term.

It is tragic that most MBO and PPBS planners have failed to recognize or are inclined to minimize the fact that individual performance improvement should be used as an essential operational component. In both instances, the early systems in use reflect the influence of traditional top-to-bottom planning and decision-making in strict compliance with the management hierarchy elitism model.

In education, administrators became fascinated with the software and lingo associated with management systems like PPBS. Although education is mostly a "people" business, the planners tended to mimic high technology procedures and thinking. Only a very small percentage of school districts actually have implemented a true PPBS system.

Even in these cases, there have been great modifications, with emphasis upon changes in reporting and accounting methods rather than the more substantive aspects of PPBS. In one state, where a PPBS state reporting format was mandated by the legislature on the

assumption that this would force school districts to adopt PPBS, business officials soon learned how to continue existing practices while complying with the law. They were able to purchase an accounting procedure which translated conventional reporting into the format required by the state.

MBO Wins Favor

MBO seems to be winning much wider acceptance among school administrators than PPBS. Paperwork and procedures are less burdensome. MBO is easier for administrators and board members to understand and explain. Again, there have been some school MBO operations so modified that they grossly distort MBO principles. On the other hand, however, particularly in the decision-making and participative aspects, there are school MBO plans which offer considerable improvements over the early industrial MBO model.

The 'Personalization' of MBO

Some administrators view developmental performance evaluation as a "personalization" of MBO. This is essentially true. Participation in the industry MBO model, however, tends to be broad only in connection with attaining short term results. Even then, those doing the work may not have been involved in determining the nature of the intended accomplishment. MBO, in practice, tends to concern itself more with tactical results rather than to become engaged in any type of broad-focused developmental strategy which aims at success in the achievement of longer term organizational and personal goals as well. In the classic MBO mode, top management seems to rely very much upon itself for guidance in long term planning.

Note how closely the developmental performance evaluation procedure cycle, Fig. 1, Page 70, resembles that of MBO, Fig. 2, Page 71, in virtually every respect:

1. Set/review goals
2. Develop objectives
3. Operations/Feedback
4. Quarterly reviews
5. Annual Individual Performance Review
6. Annual Organization Review

As has been indicated, there is no uniformity of terminology in various management systems. This can lead to misunderstandings and some confusion. However, it is not entirely a case of mutually exclusive terms being used in various management fields. For example, a goal in many MBO models may actually be a goal as the term is used in the broad sense in educational management. It is

very likely, however, to be an objective leading to specific kinds of short term activities designed to have specific, planned results.

Goal-setting in MBO implies that a needs assessment also has been conducted, probably by top management.

In addition to the overall operation goals (objectives), division and unit goals are established. The degree of involvement and initiative exercised by administrators in the development of these goals varies from organization to organization. The age of the plan may also be a factor.

Initially, goals were developed exclusively by top management and were passed down to managers heading the units. A division set of goals would coincide with the goals of the division manager in mandated fashion.

The goals would be set forth in contract form, defined in terms of measurable results to be achieved within a given time period. This "performance contract" would be submitted to and had to be agreed to by each manager. The latter had some limited negotiations rights.

In newer MBO plans, divisional and other administrators may be asked to propose goals for review by a superior administrator. Negotiations about conditions are acceptable.

In a procedural sense, MBO has close similarities with developmental performance evaluation except that the evaluatee is less likely to have as much consent to design and propose objectives. This applies also in the determination of division and unit goals as indicated above.

Data Use is Similar Under MBO and Performance Evaluation

The operations and review phases of MBO are very like the performance evaluation procedure. There is the intense study of performance data. The quarterly review in a good MBO operation, as is the case in performance evaluation, may be just a formal mile post which has been supplemented by additional informal conferences between evaluator and evaluatee about work progress.

In some organizations, the chief executive officer also holds management review sessions with division and other major unit heads on a monthly basis to examine progress and problems concerned in achieving organizational objectives. Obviously, the evaluation plan can be defeated at this point by the organization head. If there are frequent postponements or cancellations of review sessions, or other matter injected into the agenda, the message is clear: the boss really doesn't think much of MBO.

Follow Up May Be Slighted

The developmental aspects of the follow up phase in many MBO plans, especially in those adhering closely to the classic business-industry model, are not emphasized or are missing. This may be due to the fact that many top management executives have been pre-occupied with the factors which appear to control division or unit success other than those involving the personal expertise of the executives having immediate responsibilities. This is likely to occur when objectives are established at higher levels and are handed down for implementation.

In a sizable number of business enterprises, the development of executives, historically, has been a concern and responsibility of the personnel and management development operations. Thus, a gap may occur on the human contribution side of organization improvement when operational success is viewed apart from the individual contributions of management personnel. And, of course, the leadership of an organization lacking any formal program of executive development would be even less likely to be sensitive to this possibility in connection with an MBO program.

Another element which may differ is compensation. In organizations where executive compensation has been related in some way to performance, MBO appeared to have great advantages over rating systems which depended heavily upon subjective decisions. MBO seemed to offer greater documentation of individual achievement.

Getting Closer to Sound Merit Pay

Many evaluation programs in business have had the determination of merit compensation as a chief purpose. This has continued in the face of sharp criticism by leading management development experts. The latter contend that if performance evaluation is to be developmental it should not be linked to pay.

It would seem likely, however, as MBO programs become more sophisticated in all phases, with well-defined division and unit objectives involving wide participation, that similar handling of individual objectives for salary purposes might be possible. This, of course, would also have to involve advanced performance data sources and feedback as well as analysis of results efforts.

One of the unfortunate aspects of merit pay based upon performance is that money for merit is not always available. In the profit-making organization, it is possible that there may be outstanding performance in many jobs but lack of a profit for the company. In a

non-profit organization, like a school district, the amount of money which may be available for merit compensation may have no relationship whatsoever to the quality of performance. The funds available for "merit" compensation may be so limited that the amount of money is so small in relation to total compensation that the merit portion offers little incentive, as a motivator, for superior achievement.

In one very widely publicized school MBO program, based upon an industrial model, funds available for merit portions of salaries have become so undependable that administrators never know until they get their checks how much their merit is worth.

MBO and Collective Bargaining

The rise of collective bargaining for teachers and other employees offers still another development which may stimulate both MBO systems and the possibility of salary patterns based upon individual job performance and responsibilities.

MBO, properly conceived, does offer the all-important element of participation in management decision-making. In fact, it is somewhat unlikely that a valid management team can be sustained in a school district without a good MBO program, one which also relates individual achievement, growth and job satisfaction to the success of the enterprise.

The apparent conflict of interest, which exists under collective bargaining when administrative salaries are related to teacher pay scales by some ratio, has mandated a search for new arrangements. The increasing recognition that some management positions in education bear the same title but vary greatly in performance requirements and responsibilities also presents a rationale for more individualized administrative salaries.

Essential for the Wedding

An MBO program, which recognizes both work unit and individual management objectives and results accomplishment, including the developmental component, could bring about a wedding of MBO, developmental performance evaluation and merit compensation.

Such an outcome, however, is not necessarily in keeping with the traditions of school administrative bureaucracies. One western school district, which injected into administrative pay differentials such elements as individual job descriptions, school enrollments, pupil turnover, special education classes and cafeteria management, reported that the change represented "too much, too soon."

A major contribution in this area has been made by James Lewis, Jr., in *School Management by Objectives*. His format calls for both departmental and individual improvement plans. An individual school, for example, has an improvement plan which has been developed by the principal, supervisors and department heads. The plan is broken down into various categories of results expected by staff members in the school and departments. These emerge as specific objectives in individual improvement plans.

Interlocking Individual-Organization Objectives

Each individual plan contains its performance objectives, action plans, target dates, initiators and expected results. These are related directly to elements in the school/department plans.

Lewis also relates the individual improvement plan to the job description of the individual. He sees this as a primary source for personal improvement objectives. These may also be part of the individual improvement plan.

PPBS, even more than MBO, has been handicapped in its development because it is widely perceived to be a "front office" device and system which deals with dollars and budgets rather than people performance. The advocates of PPBS in education over the years have bewailed the communications problems and see an apparent inability to get across the idea that PPBS offers a full opportunity for individual participation, personal development, and the operation of an on-going program of performance evaluation. On the other hand, PPBS promoters have never made much of an effort to overcome what probably are presently fatal flaws in PPBS practice.

PPBS Cycle has MBO Similarities

The PPBS sequence, Fig. 3, Page 70, is quite similar to both developmental performance evaluation, Fig. 1, Page 70, and MBO, Fig. 2, Page 70:

1. Make analysis of current situation and then a needs assessment
2. Set organization goals
3. Develop operational objectives
4. Study alternative programs
5. Review costs, benefits, resources
6. Select most suitable programs
7. Carry out programs
8. Assess results
9. Review and plan new cycle

It is very important that individualized developmental performance evaluation plans could be operated within a PPBS system. In

fact, the "missing link" of PPBS probably is the individual evaluation program. This could bring clear documentation of individualization, personal identification and the involvement elements which usually are missing from PPBS.

Two Devastating Terms

As terms, both MBO and PPBS have been extreme handicaps to educational administrators. The shrinking of educators from words like "objectives," "programming," and "budgeting," testifies fully to the extreme isolation of many in education from non-educational forms of organizations. This fear of the unknown, coupled with a lack of awareness of ignorance, has been a retarding factor in the evolution of educational organizations.

Probably the greatest values of operating an individual developmental performance evaluation program within an MBO or PPBS operation stem from the identification of individual success with organizational success.

A New Evaluation Environment

The existence of organizational goals and objectives which are linked to clearly-understood and personally-developed individual efforts, plus the ability to document and to track the record of growth and success, can make for an entirely new and rewarding environment for work.

It is not easy, however, to persuade administrators and supervisors that an evaluation program, based upon goals and objectives, is a great advancement when the school board declines to set genuine goals.

The failure of the school board to establish overall system goals and objectives, and the lack of desire on the part of the top executive to help achieve this, represent the two chief reasons why so few sound evaluation plans are in operation.

When There Is Default at the Top

The initiators of performance evaluation programs in school districts too often are second echelon administrators or supervisors. They likely are fed up with the futile waste of time and effort represented in traditional rating, being carried on only because the law may require some kind of "evaluation."

This kind of initiative occurs in non-educational management groups, too. In one old, nationally-recognized institution, a few of the home office executives felt that the organization badly needed a dynamic developmental performance evaluation program. Rather

than challenge the goal-setting practices which were well-entrenched, the executives sought authorization to install what they termed "management by objectives." Tentative approval was given. The plan actually was a developmental performance evaluation program. It has been extremely successful and is strongly supported today by top management.

The Management Garden

When an organization's success depends largely upon its people, the managers have a very special role to play. This primary job is never mentioned in many organizations. It is a function which rarely is spelled out in job descriptions. Countless managers act as though they had never heard of the responsibility. Nor do they feel a need for the required skills of this task.

An organization is never static. It improves. Or it decays. The improvement or decay reflects what is taking place inside the organization.

Good managers are like gardeners. They, individually and collectively, are in charge of employee growth. When this is not recognized either by the managers or others in the organization, so-so performance is inevitable.

A great mystique surrounds the selection of persons to work in an organization. Those doing the recruiting and employing have relied upon tests, inspections, recommendations, degrees, and experience in other organizations as indicators of potential success in a specific organization.

In education, a great stress has been placed upon the possession of degrees and certificates, often granted by particular universities and states as guarantees of competency and ability. Actually, the most that a degree or certificate might be expected to indicate is a potential for growth. Success never is assured in advance by the "seal of approval" issued by someone outside of the organization.

The ultimate valid advance recommendation is one which assures a good starting performance but, more importantly, an ability to grow potentially in a particular organization, far beyond pre-entry capabilities.

The initial selection represents an investment by the organization. Growth must be anticipated. In fact, salary schedule step increases assume that there has been a steady performance improvement and increased value of the individual to the organization. Otherwise, there would be no purpose in long term employment commitments or job tenure.

In many organizations, including some school districts, it is not unusual for the employing organization to have invested more than \$250,000 in salary and fringe benefits for a management or supervisory employee during the first decade of employment.

There is the assumption that a steady and substantial increase in quality of services has been provided to the organization.

If so, who actually knows? How did it happen? Was it a case of self improvement? Or magic? Or was it a case of planned growth and development, due to consistent coaching, motivating and assistance afforded by the individual's administrative supervisor.

The myth of intuitive self-development in most educational positions is due more to the absence of management gardening than to anything else. There also is an underlying negative relationship to the very rapid spread of collective bargaining and the continuing assaults being made upon the validity and essentiality of educational administrative services.

Planned Support In the Garden

The purpose of a garden is to produce the finest growth possible of certain desired vegetables, fruit or ornamentals. It is planned. The anticipated results are based upon knowledge and experience. Elements for a suitable climate are provided. There is scheduled watering, feeding, weeding and cultivating. Support and protection are provided against disease, insects and other hazards. There is training, tying, pruning. There is a continuous monitoring of what is taking place.

Now! Take away the gardener! What have you got?

Soon the garden becomes a chaotic mess. While a few very strong garden occupants successfully survive until harvest time, the rest are soon wiped out due to neglect.

In the organization garden, there is the deceptive appearance, perhaps, that all is well, at least for a time. The garden climate may seem to be about the same as it is elsewhere.

This is due to the fact that those who work in organizational gardens these days have certain minimum expectations affecting the work climate which must be fulfilled.

In a school district a few years ago the existence of written school board policies, generous sick leave, fine salary levels, generous insurance benefits and job tenure might be cited as special factors which would help to attract and hold good performers.

Today, in most sections of the country, these things are merely elements which both old and new employees *expect* to be provided by any employing district.

Beyond the Benefits

Those elements which make for the highly positive work climate today may be regarded as something well beyond the fringe benefit

concepts of a decade or so ago. They are likely to concern satisfactions which are related to the job itself.

Surprisingly, many of the so-called "little things" in the eyes of administrators may actually be of great significance so far as job satisfaction is concerned.

The principal, for example, whose communications with a teacher are dominated by such things as concerns for money collections rather than classroom instructional matter is communicating far more than is realized. And the teacher is enjoying the job less.

On the other hand, the principal's own job satisfaction may be diminished by the superintendent's disposition to devote staff meetings to informal chatter and to save highly complex and significant matters for special bulletins which afford little opportunity for elaboration or response.

These examples are indications of the ramifications of the role of manager as gardener.

Developmental performance evaluation admirably fills a basic gap in educational management which has caused, and is causing, many problems which keep schools from achieving higher performance levels. This procedure calls for a continuing meaningful dialogue devoted to mutual planning, and a review and analysis of work accomplished, in which both have a stake.

Performance evaluation, when properly conducted, compels a much freer two-way communication about how specific work is progressing than has been true in the past. Decentralization, which in education extends in many dimensions, requires extraordinary added provisions for management communications.

School principals, who complain that they rarely see the superintendent, and superintendents, who take vows that they will visit every school building during the next school year, offer testimony to the extent of the problem.

The Devastation of Silence

One of the most crippling aspects of poor management communication is no communication at all. The boss who thinks others will assume everything is all right if they receive no communications unless a problem arises, plays a dangerous game. Nothing causes greater suspicion in a decentralized organization than silence on the part of superiors. It is all too easy for the subordinate's imagination to run wild with negative speculations about the reasons for the silence.

In one northwestern school district, central office administrators were so disturbed about mushrooming principal complaints of poor

relationships with the central district office that a consultant was called in to find the cause.

One of the chief reasons for the problem, it was found, was the direct result of starting a daily mail delivery to the schools. Formerly, principals were required to make a daily morning trip to the administration building to pick up their mail. These regular daily visits also enabled the principals to keep well-informed about developments being planned.

The impact of the communication handicap did not become apparent for some time. Even when a variety of symptoms surfaced, those in the district administration were unable to trace the difficulties to the gap in communications caused by the change in mail delivery practices.

The Pressures for Individualization

A good management garden also emphasizes individualization. There is interest in and concern for the development of the individual as a contributor to the success of a team operation. In most kinds of work organizations today there is a growing pressure for individual identification and recognition. Education has not been particularly generous with recognition for individual performance by staff members as evidenced by such things as "Teacher of the Year" initiated at the federal level a few years ago. There are far fewer evidences of interest in recognizing top management and supervisory performance.

Although many school administrators have regarded collective bargaining to constitute a strong negative influence in effective management, this fairly new development in education does dramatize the management challenge to foster individualism. Aside from protecting the individual against contract violations, the spirit and strength of the union movement is dedicated to the group and group interests. The individual member is subordinated in goals and objectives — and other union concerns.

Plotting Against Individual Input

Union leaders have been strong advocates of acquiring decision-making power over most aspects of the educational program. In effect, a transfer of decision-making power should be made, in the union leadership viewpoint, away from the school board and placed upon the bargaining table. So far as many dues-paying members are concerned, however, input into decision-making would be just as remote from the individual employees as in any prior period.

Many superintendents and school board members, out of concern that administrative and supervisory personnel will find unionism attractive have adopted policy statements and set up organization groupings which have been called a "management team." But merely stating that a team exists does not create a team. The team must have reality. Are there special considerations for management team members? Is there planned development of administrative and supervisory personnel? Is there diagnosing of performance for growth purposes? Lots of communication? Coaching? Consistent top management and board support for programs designed to build cohesiveness? Is there team practice, practice, practice?

Much More Than a System

As this very quick review indicates, a good developmental performance evaluation program can be much more than a systematic procedure for examining individual performance in an organization. Such a program is highly instrumental in building a positive work climate. Supervision is placed in a dynamic context. Effective supervision cannot be optional.

But can developmental performance evaluation handle the problems of the "bad guys," too? Is it something which is good only for the good guys — who aren't really a problem?

First of all, it is important to consider how the so-called "bad guys" (of both sexes) got to be bad guys in the organization? Was it slipshod initial recruiting and hiring practices? Poor orientation and weak supervision? Or poor preparation? Or the shifting of an unsuccessful teacher into an administrative or supervisory slot simply because of pressure and the fact that the administrative organization failed somewhere along the line — but did not have the guts to face facts and to make hard but honest decisions?

Factory-Finished Educators

Education's penny-wise and pound-foolish tradition of maintaining a thin, virtually laissez-faire quality of administrative supervision, has created a scandalous situation. The education profession, fully supported by institutions which train educators, has conveyed to school boards and the public the belief that teachers and administrators come from the university fully qualified to be self-supervising. Although forward-looking universities have, in recent years, begun to shift ground and concede that significant improvement can and should take place on the job, the myths still are well-entrenched that educator improvement must be undertaken at places remote from the job.

It is still very difficult for the public to believe that sound supervision and on-the-job development represent the most economical way of raising levels of staff performance. This viewpoint, seemingly, is even more extreme among school board members, even those who declare authoritatively that school administration should "adopt sound business and industry practices."

School administrators in many school districts have trouble portraying school administration as a power force for educational improvement because they themselves often lack a full understanding of the dynamics of management. In many situations, of course, where the tradition is bureaucratic, perpetuation of the status quo is the goal rather than change of any kind.

This may explain, in part, why conventional definitions of administrative and supervisory services too often fail to achieve school board and public appreciation of their essentiality. Employee union leaders, of course, make great capital of this monstrous vacuum.

Consider what could happen, however, if the administrative-supervisory group in a school district pursued seriously the science of management, using developmental performance evaluation as the vehicle.

A completely open, well-documented management pursuit of board-adopted goals via a policy of rising performance levels, affords few hiding places for those who care little about goal achievement.

Each performer knows specifically what is expected of him or her in the way of performance improvement. Most known discrepancies in performance at management levels can be traced to inadequate information given to the individual about expectations regarding his or her performance. Thus, inadequacies of goals and objectives, sometimes expressed in vague, generalized terms by school boards, actually may be the root causes of failure because they are not mutually understood by managers and supervisors charged with obtaining results.

Breaking the Bottleneck

The developmental performance evaluation program tends to eliminate the information gaps and misunderstandings. It is dedicated clearly to action based upon knowledge of objectives and performance results.

There has been a great reluctance in education to assume any responsibility for the lack of success. It is presumed typically that failure is caused by the student or staff member — and not by the school organization.

Faulty performance is rarely, if ever, traced to those involved in the selection process, those who make the job assignments, or those who supervise and evaluate. Although there may be bitter complaints that poor performance warrants dismissal, this step rarely is taken. The reason is not the tenure laws or the unions.

It is a lack of a sound, systematic and defensible evaluation program, one which genuinely is focused upon development and the correction of inadequate performance. Obviously, the evaluation program which concerns itself with performance improvement based upon sound goals, the achievement of good mutually-determined objectives and a systematic monitoring and analysis of work results information, presents a positive approach to performance assessment. It treats evaluator and evaluatee with complete fairness. And there is a record of good faith which tells the story of planned efforts, by the evaluatee and evaluator, to bring about improvement.

Why Firing Usually Never Happens

Too often attempts to dismiss school personnel fail dismally because one or more components of a good evaluation program have been lacking. This would include the record of supervisory assistance, communication and planned efforts to upgrade job understanding and performance. These elements, plus many more, are part of the record in a developmental performance evaluation program.

Lack of success in some job aspects in education, unfortunately, are not always viewed to be management challenges. There is a disposition to condone or to tolerate the shortcoming rather than to try to minimize or to eliminate it.

It is not necessarily a matter of gutlessness. Too few settings have been provided in the traditional school administrative matrix which afford the continuing positive type of growth encouragement contract. There also is no formal job requirement in most school systems which require supervisors specifically to help others to improve their performance.

Students of management in recent years have piled up impressive amounts of evidence and testimony which point to the necessity of goals and objectives for operational success. Individual achievement targets, related to the organizational goals, must be a recognized part of the work effort of each individual.

George S. Odiorne's penetrating *Management and the Activity Trap* declares bluntly that any organization can fall into the trap of letting activity, rather than results, become the desired outcome of effort. In fact, the activity cult becomes a form of religion within the organization. What happens is devastating. In organizations which

become activity-centered rather than results-centered, the outcome is that people involved *shrink instead of growing*.

Eventually, there is the misguided doctrine that, somehow, activity alone will bring good results.

The Podacarpus Principle

Superintendent Podacarpus, while mulling over his two encounters with the sales clerk of his dreams, suddenly had the answers to the two questions! It happened in broad daylight in his office. The answers simply popped out!

If you peel away all of the fancy terms and procedures, Podacarpus reasoned, all that can possibly be left as the basic questions of any developmental program are these:

1. How well are we doing and how do we know?
2. How can we do better — specifically.

Evaluation is meaningless unless you know not only where you have been but where you want to go, he said. There must be the goals and objectives so you will know what you are aiming for; otherwise, you drift. Mileposts and planned feedback of performance information are essential. Otherwise, you become lost. You do not actually know what is happening and what accomplishments, if any, have been made.

Why is Question No. 2 so basic? Without No. 2, No. 1 becomes an exercise in futility. No. 2 requires No. 1 as its forerunner.

"And that must be the 'connection' he was talking about!" Podacarpus said aloud.

"The whole point of measuring progress toward objectives and goals is to improve progress! Discovery and use of better ways based upon an analysis and study of what has happened in the past! That is what evaluation is all about if an organization is to have a plan of continuing overall improvement."

Podacarpus bounced out of his chair and prowled around his desk.

"Something's still missing here," he said. "There's one more essential that's not being recognized. Yet it has been said again and said again. It's 'we.' There's an awful lot of 'we' in education, but a lot of it is bull. We talk 'we,' but our actions are usually dedicated to 'me' and 'you.'"

"This kind of evaluation recognizes the 'we' bridge which links 'you' and 'me' together in the effort. It may be 'your' job, but if I have a responsibility to see that it's performed in the best possible way, then it's 'my' job, too. So it's really 'our' job.

"We've deluded ourselves into believing that we're all performing separate unrelated jobs inside this compartmentalized bee hive.

We've been programmed to be 'loners' by tradition, training and the authority of the state. We see nothing at all peculiar about our separate preparation programs, degrees credentials and professional organizations.

"Yet we have school systems, sequences of grades and courses and a progression from elementary to middle or junior high schools and senior high schools. We present to the public the picture of systematic planning and order.

"We confuse ourselves and others by claiming we have individual and exclusive rights to each job, each classroom, each office. We act like jealous, mistrusting entrepreneurs who, by mere coincidence, happen to work under the same roof.

"We further confuse ourselves and others by being shockingly stingy about giving recognition for individual accomplishment. We honor uniformity. We demonstrate this in the uniformity of salary schedules, increments, and fringe benefits. We support this in the uniformity of job descriptions. We recognize achievement not on the job but **away from the job**, giving rewards for courses taken and degrees acquired.

"But we deny recognition or rewards for improved performance *on the job*. Salary raises recognize merely the fact that we grow older on the job.

"What do we do in education to encourage personal satisfactions derived from performing the work itself? Any rewards which come in this fashion are hit or miss, speculative, future-based, and at the mercy of a system which too often distains goals, objectives and performance information. What's missing?"

The expression of deep concern on his face was slowly replaced by a smile. Podacarpus snapped his fingers gleefully.

"I've got it!" he said. "Simply knowing how well you are doing and how you can do better is not enough — at least in education. You've got to have a *partnership* with someone whose success reflects your success, someone who is positively involved in encouraging your success and giving recognition for achievement.

"The partnership relationship has got to be the key to it all!"

This is how, it is said, that *The Podacarpus Principle* first became identified in developmental performance evaluation.

Over the years, uncertainty about the role of the evaluator (the "superior" or "boss") has been one of the major stumbling blocs in all fields of management, especially at management and technical levels. The evaluator has protested about being required to "play

God." He has often felt inadequate as a "coach," "judge," or "father figure."

The evolutionary concept that the evaluatee should play an increasingly-involved and more sophisticated role in the initiation and design of objectives, the collection and study of performance data, making self-evaluations, and other aspects of the evaluative process, has made possible the emerging concept of a "partnership" work relationship within organizations.

Many administrators, perhaps as the outcome of many years of fast growth and rapid staff turnover, have forgotten that they are paid by bring about improved performance by those they supervise. The "partnership" idea not only underlines this responsibility but it also makes the task less one-sided.

Lack of success on the job, under a good evaluation plan, is not something which occurs with suddenness and surprise. Neither is it ignored. It gets recognition and positive attention by the partnership. The main business of the partnership is to detect, analyze and remove obstacles which impede success.

The primary involvement of the evaluatee, right at the start in the development of objectives, implies that greater performance success — not failure — is the chief goal of the partnership.

Much experimentation has been conducted in education, and other types of enterprises, about merit compensation as a motivator of improved performance. On the other hand, very little research has been conducted into other types of rewards and forms of recognition as stimulators of higher performance levels.

The Hawthorne experiment of a half-century ago and the more recent efforts of Robert Rosenthal, in a school setting, point clearly to the relationship between higher performance levels and the impact of positive expectations and support given by evaluators to those performing work.

Rosenthal simply told a group of teachers he had a test which would identify students who had the learning ability to move from average to excellent achievement. He even identified some of the children in advance to several teachers, but told them not to inform the children.

At the end of the semester, virtually every child identified by Rosenthal was doing excellent work. Rosenthal then confessed that he had selected the children at random. It was teacher expectations and support, even though communicated indirectly, which had influenced the children to so substantially improve their performance levels.

The positive orientation of evaluator-evaluatee pairs throughout and entire organization may have an extreme impact on perfor-

mance over a period of time. Not only can the system have an evaluation program which actually delivers improved performance results, but also this capability can be addressed to refinements of the total management fabric.

Job descriptions in most work organizations still are at an elemental stage of development. This is true in most school district. A single description, for example, is claimed with a straight face to accurately describe the work of every secondary school teacher or every assistant principal. Most position descriptions are static and not dynamic.

Recognition of different performance styles is unknown in job description writing. Quite different verbal skills, for example, are demanded of the collective bargaining chief, a supervisor working with young children, or a business manager. These very important differences go unrecognized when position requirements are discussed.

There is great interest today in stimulating upward communication in many management organizations, because of its clear relationship to performance improvement. It has even been suggested that "management by feedback" might be a more appropriate term than MBO. The reasoning is that, while goals and objectives have been recognized and accepted, the essential feedback of results information is an equally vital aspect of systematic management.

In education, perhaps due to neglected upward communication channels, management is now in serious trouble. There are teacher union pressures to build fences around management's capability to communicate with employees and to limit it as much as possible to the bargaining table and to grievance procedures.

The upward communication interest, in part, reflects a desire by some managements to have evaluative feedback for improvement purposes. Unfortunately, this has been interpreted by teachers as an opportunity to rate administrators, applying to others the same primitive rating methods about which they complain so bitterly when applied to themselves by administrators.

Virtually every study which has been conducted of employee opinion during the past quarter century reveals that employees in many different kinds of enterprises feel that there is inadequate communication from management.

The network of two-way continuing communication at all levels which is mandated by a sound developmental evaluation program may be found, by experience, to be a major breakthrough in an organization like a school district, which represents an extreme case of work decentralization.

Probably the most important point for school administrators to understand, when becoming involved in a system of this type of

evaluation, is that the procedures used are not ends in themselves. Furthermore, the procedures possess values for management which go far beyond conventional concepts of evaluation.

Similarly, the setting up and following of evaluative procedures without full understanding of the goals to be attained and skills to be developed, can be self-defeating.

Although the adoption of this kind of evaluative effort is not radically new so far as the concepts which are involved, it is revolutionary when compared with the contemporary kinds of evaluation practiced in most school districts.

One of the most difficult aspects of performance evaluation is the underestimation of the time and effort required to carry out successful implementation. Administrators and supervisors should not be permitted to view the plan merely as a new procedure or be allowed to grab it and run.

Emphasis often is misplaced. There may be a great deal of attention given to the details and sequences of procedures rather than the principles of human resources development, sound supervisory practices and motivation which are involved. Too often there is a failure to recognize the need for sharpening the skills and qualities required for effective development of this new kind of relationship.

Forms and paperwork, often fascinating to an evaluation planning group, should not be permitted to consume more than 10 per cent of the planning time. Ninety per cent should be devoted to discussions of potentialities, anticipated problems, a hard-nosed critique of the existing program and ways to bring about skill development in the design of objectives, information feedback, coaching methods, conferencing, evaluatee-evaluator relationships, etc.

Orientation and training requirements should be viewed on a par with training requirements for members of an athletic team. There should be heavy emphasis upon practice, especially role playing and review of every aspect of the evaluation cycle.

The focus of getting ready, as in the operation of the program itself, should be upon success.

One of the serious mistakes of management groups is that members may be permitted to conclude that developmental performance evaluation is like conventional annual rating — even before they have had a full opportunity to learn about the differences. Therefore, much of the attention should be devoted to every aspect of the differences.

There has been previous mention of the importance of top management interest and support as a key success ingredient for the plan. One means of assuring evidence of this support is to give the

plan a regular agenda spot at sessions of administrative and supervisory personnel.

Obviously, this kind of evaluation program will not be self-developing nor self-managing. Coordination work should not be turned over to a second or third management level staff member. There should be a straight line to the office of the superintendent.

Fig. 1

The Developmental Performance Evaluation Cycle

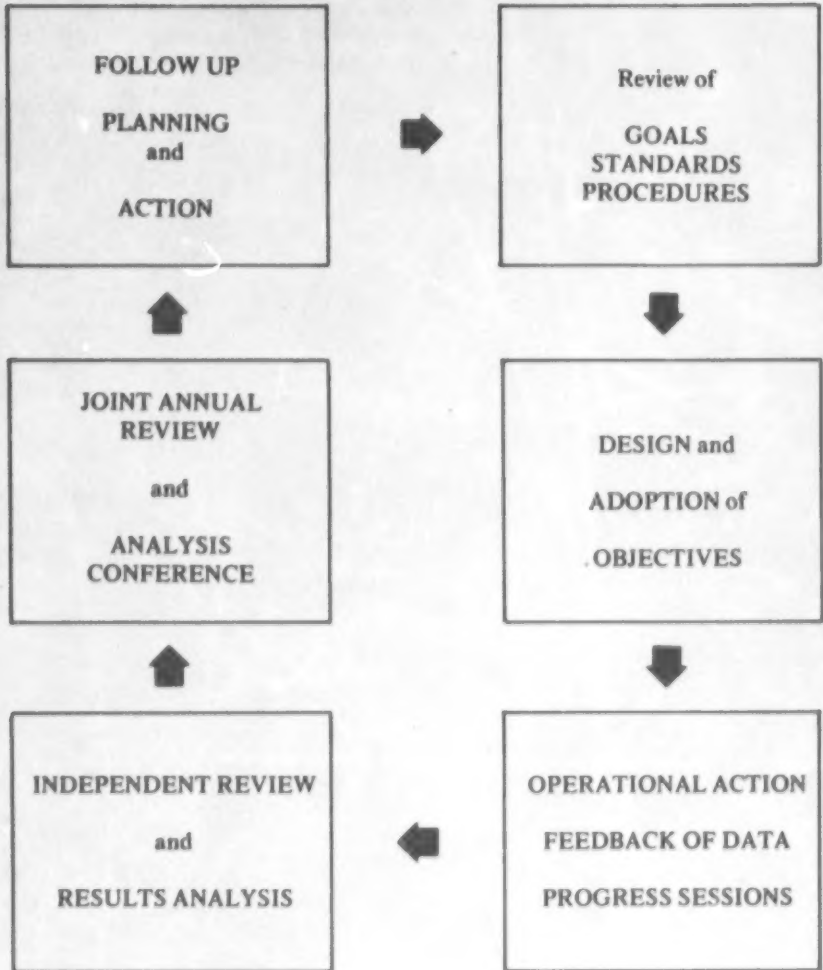
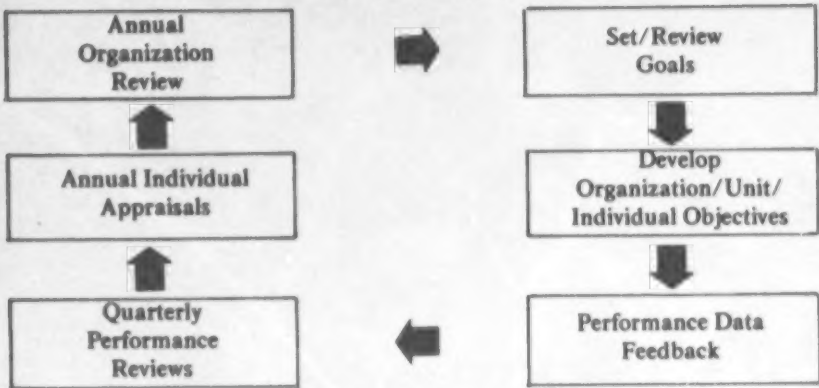
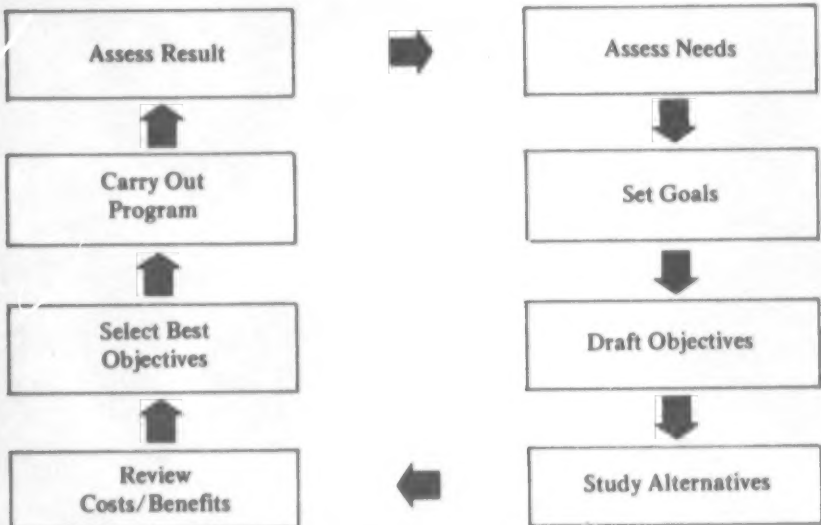


Fig. 2-3

MANAGEMENT BY OBJECTIVES CYCLE



PPBS CYCLE



I. Developmental Evaluation Record Form

Name _____ **Position** _____

Evaluator _____

Date _____ **Evaluation Period from** _____ **To** _____

Objective No. _____:

Activities to be performed:

Goal reference (District, School, Personal):

Nature of success data, collectors, details of procedures:

Special conditions/nature of help to be provided:

Scheduled completion date:

Progress conferences held:

Evaluatee's Analysis of Results:

Evaluator's Analysis of Results:

Evaluation Conference Summary:

Follow up Plans:

Name _____

Position _____

Supervisor _____

2. Improvement Plan Based Upon Job Description

JO: DESCRIPTION	Priority	Improvement Objectives	Data to be Used to Determine Success	Special Conditions	Supervisor's Endorsement	Progress Conference Held	Completion Date	Personal Results & Analysis	Supervisor's Results & Analysis	Follow Up Plans
A. _____										
B. _____										
C. _____										
D. _____										
Personal Goal #1										
Personal Goal #2										
Job Enlargement Goal #1										
Job Enlargement Goal #2										

3. Performance Objective Design Checklist

- ☐ Evaluator and evaluatee both agree language used is clearly understood; there are no words describing the objective which could be misinterpreted — even by a third party?
- ☐ Identify the district/school building/department/personal goal to which objective is related?
- ☐ How many alternative objectives were considered before selecting this one?
- ☐ How realistic is the objective? Too easy? Not attainable?
- ☐ How is the objective related to evaluatee's job description?
- ☐ Have the starting and completion dates been studied carefully?
- ☐ What elements of the objective are "new?" "old?"
- ☐ Which persons will be involved in any way in the activities?
- ☐ How will the evaluator be involved in the activities?
- ☐ What special conditions and/or commitments involving others are specified in the objective?
- ☐ What are the start and completion dates for the objective?
- ☐ What might require modification of the objective after operations begin?
- ☐ What plans have been agreed upon for an evaluatee-evaluator conference if problems arise?
- ☐ What types of performance data are to be collected and monitored? Who will do the collecting?
- ☐ What plans are incorporated covering feedback of performance information to evaluatee? Evaluator?
- ☐ What data will indicate that progress is being made?
- ☐ What data will indicate full success? Partial?
- ☐ When and how are progress conferences to be conducted?

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